

1999

Criteria for presidential performance reviews in higher education institutions in Virginia

Claudia Hudak Clark

College of William & Mary - School of Education

Follow this and additional works at: <https://scholarworks.wm.edu/etd>



Part of the [Educational Administration and Supervision Commons](#), and the [Higher Education Commons](#)

Recommended Citation

Clark, Claudia Hudak, "Criteria for presidential performance reviews in higher education institutions in Virginia" (1999). *Dissertations, Theses, and Masters Projects*. Paper 1539618515.

<https://dx.doi.org/doi:10.25774/w4-vrdw-hc49>

This Dissertation is brought to you for free and open access by the Theses, Dissertations, & Master Projects at W&M ScholarWorks. It has been accepted for inclusion in Dissertations, Theses, and Masters Projects by an authorized administrator of W&M ScholarWorks. For more information, please contact scholarworks@wm.edu.

INFORMATION TO USERS

This manuscript has been reproduced from the microfilm master. UMI films the text directly from the original or copy submitted. Thus, some thesis and dissertation copies are in typewriter face, while others may be from any type of computer printer.

The quality of this reproduction is dependent upon the quality of the copy submitted. Broken or indistinct print, colored or poor quality illustrations and photographs, print bleedthrough, substandard margins, and improper alignment can adversely affect reproduction.

In the unlikely event that the author did not send UMI a complete manuscript and there are missing pages, these will be noted. Also, if unauthorized copyright material had to be removed, a note will indicate the deletion.

Oversize materials (e.g., maps, drawings, charts) are reproduced by sectioning the original, beginning at the upper left-hand corner and continuing from left to right in equal sections with small overlaps. Each original is also photographed in one exposure and is included in reduced form at the back of the book.

Photographs included in the original manuscript have been reproduced xerographically in this copy. Higher quality 6" x 9" black and white photographic prints are available for any photographs or illustrations appearing in this copy for an additional charge. Contact UMI directly to order.



Bell & Howell Information and Learning
300 North Zeeb Road, Ann Arbor, MI 48106-1346 USA
800-521-0600

**CRITERIA FOR
PRESIDENTIAL PERFORMANCE REVIEWS
IN HIGHER EDUCATION INSTITUTIONS
IN VIRGINIA**

A Dissertation
Presented to
The Faculty of the School of Education
The College of William and Mary in Virginia

In Partial Fulfillment
Of the Requirements for the Degree
Doctor of Education

by
Claudia Hudak Clark
August 1999

UMI Number: 9942551

**Copyright 1999 by
Clark, Claudia Hudak**

All rights reserved.

**UMI Microform 9942551
Copyright 1999, by UMI Company. All rights reserved.**


**This microform edition is protected against unauthorized
copying under Title 17, United States Code.**

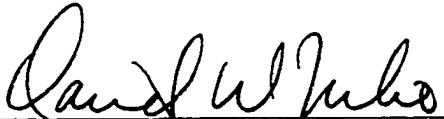
UMI
300 North Zeeb Road
Ann Arbor, MI 48103

**CRITERIA FOR
PRESIDENTIAL PERFORMANCE REVIEWS
IN HIGHER EDUCATION INSTITUTIONS
IN VIRGINIA**

By Claudia Hudak Clark

Approved August 1999


Robert J. Hanny, Ph.D.
Chair of Dissertation Committee


David W. Leslie, Ed.D.

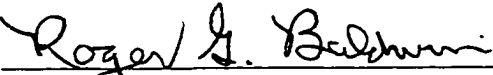

Roger G. Baldwin, Ph.D.

TABLE OF CONTENTS

Acknowledgments.....	vi
List of Tables.....	vii
List of Figures.....	ix
Abstract.....	x
Half-Title Page.....	xii
Chapter 1: The Problem.....	1
Introduction.....	1
Statement of the Problem.....	3
Significance of the Study.....	5
Conceptual Framework.....	7
Limitations and Delimitations.....	10
Definition of Terms.....	12
Chapter 2: Review of the Literature.....	15
Early Presidential Assessment Efforts.....	15
Function of Educational Evaluation.....	18
Relationship between the President and the Board.....	21
Parallels between Business and Higher Education Boards and Presidents.....	25
Purposes of Presidential Evaluation.....	29
Methods of Presidential Evaluation.....	31
Determining Appropriate Evaluation Criteria.....	38
Problems with Current Evaluation Methods.....	46
Summary	47

Chapter 3: Methodology.....	49
Chapter 4: Analysis of Results.....	54
Phase I-Surveys.....	54
Survey Return Rate.....	54
Demographic Information.....	55
Findings for Research Questions.....	58
Phase II-Interviews.....	72
Response Rate.....	72
Demographic Information.....	72
Research Questions for Phase II – Interviews with Presidents.....	74
Interviews – Qualitative by Theme.....	89
Relation of Themes to Demographics.....	96
Comparison of Surveys to Interviews by Institution.....	99
Recurrent Themes.....	101
Additional Themes.....	101
Summary of Themes from all Analyses.....	104
Systematic Appraisal.....	104
Review Criteria.....	105
Experience and Personal Characteristics.....	105
President/Board Relationship.....	106
Chapter Summary.....	106
Chapter 5: Summary, Discussion, and Recommendations.....	108
Limitations.....	108

Conclusions.....	110
Discussion.....	124
Recommendations for Practice.....	129
Recommendations for Programs of Higher Education.....	131
Recommendations for Future Research.....	132
Appendix A: Letter to Board Chairs for Participation in Study.....	136
Appendix B: Presidential Performance Survey.....	138
Appendix C: Message to Presidents for Interview Participation.....	141
Appendix D: Interview Questions for Presidents.....	144
References.....	146
Vita.....	152

ACKNOWLEDGMENTS

Countless individuals were instrumental in supporting me in this research effort, whether by intellectual, moral, statistical, computer software, or other types of assistance. I wish to thank my colleagues at National Defense University: Ms. Judy Shoot, Ms. Gail Smith, Ms. Candi Spanka, Ms. Karen Carleton, Dr. William Riley, and Dr. Susan Studds. Others too numerous to count lent a sympathetic ear. In addition, I thank my committee members for their expert guidance and skill in helping me through the rougher challenges. Dr. Robert Hanny, in particular, dedicated selfless hours to guiding the dissertation, and did it with humor and kindness. Special thanks goes to my husband, Robert Clark, who managed to see me through the entire scholarly process without breaking. And last but not least... thanks, Mom and Dad.

LIST OF TABLES

1. Results by Institution Type.....	56
2. Results by Institution Student Enrollment.....	57
3. Results by Institution Carnegie Type.....	58
4. Date of Most Recent Presidential Evaluation.....	59
5. Next Scheduled Presidential Evaluation.....	60
6. Formal vs. Informal Aspects of the Institution's Presidential Evaluation: Systematic vs. Casual.....	61
7. Formal vs. Informal Aspects of the Institution's Presidential Evaluation: Announced Purposes and Procedures.....	61
8. Formal vs. Informal Aspects of the Institution's Presidential Evaluation: Ratings by Individuals.....	61
9. Formal vs. Informal Aspects of the Institution's Presidential Evaluation: Public Discussion of Findings.....	62
10. Formal vs. Informal Aspects of the Institution's Presidential Evaluation: Timeframes for Completion.....	62
11. Formal vs. Informal Aspects of the Institution's Presidential Evaluation: Written Reports of Results.....	62
12. Formal vs. Informal Aspects of the Institution's Presidential Evaluation: Oral Reports of Results.....	63
13. Formal vs. Informal Aspects of the Institution's Presidential Evaluation: Conducted on Set Cycle.....	63
14. Presidential Responsibilities as Evaluation Criteria: Academic Leadership and Management.....	64
15. Presidential Responsibilities as Evaluation Criteria: Administrative Leadership and Management.....	65
16. Presidential Responsibilities as Evaluation Criteria: Budget and Finance.....	65
17. Presidential Responsibilities as Evaluation Criteria: Fund Raising.....	66

18. Presidential Responsibilities as Evaluation Criteria: External Relations.....	66
19. Presidential Responsibilities as Evaluation Criteria: Personal Characteristics.....	66
20. Performance Review Criteria: Institution Type.....	68
21. Performance Review Criteria: Student Enrollment.....	68
22. Performance Review Criteria: Carnegie Type.....	69
23. Criteria Selection Decision.....	70
24. Formal Job Description as Evaluation Criterion.....	71
25. President's Responsibilities as per President's Contract.....	71
26. Interview Results by Institution Type.....	72
27. Interview Results by Institution Student Enrollment.....	73
28. Interview Results by Institution Carnegie Type.....	74
29. Board Chair and President Agreement by Institution.....	100

LIST OF FIGURES

1. Conceptual Framework.....	7
2. Evaluation Criteria Importance by all Institutions.....	67

**CRITERIA FOR
PRESIDENTIAL PERFORMANCE REVIEWS
IN HIGHER EDUCATION INSTITUTIONS
IN VIRGINIA
ABSTRACT**

The purpose of this study was to investigate current practices by which Virginia college and university boards assess their president. Of prime importance to this study was the degree to which criteria used to conduct presidential performance appraisal reflect accepted standards for personnel evaluation in higher education institutions. This study utilized a mixed design. Completed surveys received from 26 Virginia college and university board chairs (67 percent of the 39 schools targeted) were analyzed using descriptive statistics and Mann-Whitney and Kruskal-Wallis Test analyses. Twenty presidents from this sample's institutions were then interviewed to further explain and interpret how the variables that were revealed as a result of the survey differ and relate to each other.

Findings indicate that representatives of the 26 institutions taking part in the study conduct regular and systematic performance reviews of their president, most of which are informal in nature. Most participants agree on the criteria used to assess the president's performance. Although the criterion, Administrative Leadership and Management,

surfaces as the most important factor overall, additional analyses indicate that it is the most important criterion in private liberal arts institutions, whereas Academic Leadership and Management is the most important appraisal criterion in public doctoral and research institutions. In addition, performance criteria currently in place are characteristic of the four attributes the Personnel Evaluation Standards advocates.

Thematic analyses revealed that Virginia board chairs and presidents alike are interested in presidential performance appraisal and want to do it well. Board chairs and presidents agree with higher education researchers that certain criteria are important to consider when reviewing the president's performance. These criteria center around: creation of a vision, being an advocate and role model for the institution, fostering good communication in an atmosphere of integrity, administrative skills, and financial management and fund raising skills.

CLAUDIA HUDAK CLARK
PROGRAM IN HIGHER EDUCATION
THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA

**CRITERIA FOR
PRESIDENTIAL PERFORMANCE REVIEWS
IN HIGHER EDUCATION INSTITUTIONS
IN VIRGINIA**

Chapter 1: Introduction

What a president does, it might be argued, is more important than the way he or she does it. The evaluation, therefore, should be of the office or of the performance in office. But the fact remains that the way a person behaves is sometimes as important as what he or she does. Leadership is based in part on very personal qualities--charisma, sensitivity, courage under fire, fairness and decency (Nason, 1997, p. 38).

Establishing criteria to assess the relative worth of a person, office, or even program is no simple matter. Add to this the complexity of defining standards to evaluate the effectiveness of the person who manages a multi-faceted college or university, all of which are unique in the United States, and one begins to understand how difficult it is to appraise the presidents of our higher education institutions. Since we depend so much on their leadership, we must look beyond their administrative skills to their qualities of integrity and abilities to envision long-term institutional goals, all of which are complicated traits to assess.

College and university presidents live in the public domain, where the president's appearance, behavior, management skills, and decisions affect the various aspects of the entire educational community. Community members, including students, faculty, staff, alumni, trustees, state legislators, church officials, and local citizens have always passed judgement on the president and likely always will. The judgements, however, have

traditionally been informal. In the last decade or so evaluation has become more formal, purposeful, or institutionalized instead of the previous tendency to be intermittent, fragmented, impulsive, or spontaneous (Nason, 1997).

Since Kingman Brewster, former president of Yale University, first brought public attention to presidential evaluation in an address to the Yale Political Union in 1969, the trend has been to hold the persons in charge accountable (Nason, 1997). Not only does the public require that the board and president, to whom the well being of the institution has been entrusted, be accountable, but also board members want to know how well their institution is doing.

During the middle 1980s, noteworthy efforts in presidential evaluation were evident. Nason (1997) first published a guide for colleges and universities for the assessment of their presidents in 1980. His study, conducted for the Association of Governing Boards of Universities and Colleges (AGB), revealed trends in practices of the time and encouraged more widespread activity in presidential evaluation. Of significance is his effort to encourage more formal assessment, that which is purposeful, periodic, official, and more public in that the procedure is based on systematic searches for input from a wide range of constituencies. His study yielded findings that were used as a standard for other scholars on the topic (Fisher, 1996; Kauffman, 1989; Kerr & Gade, 1986; Seldin, 1988).

Although in Nason's 1980 study he discovered no clearly established pattern of procedure for evaluating presidents, his study revealed the trend that more formal evaluation was becoming more pronounced. The crucial question had become not

whether to evaluate, but rather how to evaluate. Presently, little current information exists on what is going on in colleges and universities across the country regarding periodic presidential performance reviews. Are the majority of institutions evaluating their presidents informally, formally, or not at all? By what criteria are those who are conducting evaluations assessing their presidents? To what extent are presidents judged on inadequate or mistaken standards?

This study explored current practices by which select Virginia college and university boards assess their president and institution. Of prime importance to this study was the degree to which criteria used to assess presidents reflects accepted standards for personnel evaluation. Since the objective of presidential performance reviews is to study the effectiveness of the chief executive officer and the institution as a whole, accountability of those in charge is paramount. An issue central to this study, therefore, was determining the extent Virginia colleges and universities are accountable to their customers.

Statement of the Problem

Presidential assessment experts have indicated that the two primary purposes of periodic presidential performance reviews are to fulfill the board members' responsibility to evaluate the chief executive officer (CEO) whom they have appointed to manage the institution and to improve the performance and effectiveness of the CEO (Kauffman, 1980; Kerr, 1984; Nason, 1997). Ultimately, the objective of assessment is to foster not only improved individual performance but also institutional performance (Evaluating College and University Presidents, 1988). Other scholars on the topic believe that formal assessment actually serves to undermine the credibility of the president and, therefore,

weakens the position of the presidency (Fisher, 1996; Fisher and Koch, 1996). However, most (Chait, Holland, & Taylor, 1996; Kauffman, 1980; Kerr, 1984; Nason, 1990) agree that some type of presidential evaluation serves to help clarify communication between board members and the president, and ultimately serves to improve the functioning of the governing board and, thus, the institution.

The purpose of this study was to investigate the criteria and process used to judge presidential worth or effectiveness. The primary objectives were to determine which Virginia colleges and universities perform periodic reviews of their president, either informally or formally, and to explore the criteria that were used to conduct such evaluations. Specifically, how do the criteria and process used to judge presidential effectiveness in Virginia colleges and universities relate to specific standards, such as the president's responsibilities discussed in the literature, the Personnel Evaluation Standards (PES), and presidential job descriptions?

The problem was approached from the perspective that higher education institutions are unique organizations in which leadership and management are based on the concepts of professionalism and shared governance. Further, college and university presidents possess unique talents that must be carefully nurtured and developed to assist in creating a better "fit" when managing their individual type of higher education institution. By studying what motivates college and university governing boards to question the CEO on his or her appraisal of individual accomplishments and shortcomings we can begin to understand what makes the president effective or less than optimally effective.

This study synthesized data collected from board chairs and presidents of institutions of higher education in the Commonwealth of Virginia to address the following

questions.

1. Which Virginia colleges and universities conduct assessments of their president?
2. Are these assessments conducted formally or informally?
3. What criteria are used to conduct the evaluations?
4. Are criteria related to a body of knowledge regarding presidential responsibilities?
5. Are criteria related to standards and methodology advocated in the Personnel Evaluation Standards (PES)?
6. Are criteria related to job descriptions of the president, where available?
7. Does the president's contract reflect the criteria?
8. Is there agreement on the choice of criteria used within and between the constituent groups, ie. the board chairs and presidents?

Significance of the Study

Governing board members of Virginia's colleges and universities are intensely interested in the expert running of their institutions, and therefore, are interested in evaluating the performance of their institution's chief executive officer, the president. Since they are responsible for the administration and conduct of the institution they serve, information will be helpful to assist them in ensuring the institution is accountable to the larger public and is well managed. In both public and private institutions, boards are viewed as a venue that represents the broadly defined public interest in higher education. Board control in American colleges and universities has been viewed as a means of

ensuring simultaneously institutional autonomy and accountability to the public (Taylor, 1987).

Boards assume responsibility for all aspects of institutional management within the limitations specified by law and the school's charter. The board's responsibility generally is to set and monitor policies that guide presidents to administer the day-to-day operation of the college. Since the board is vested with final authority over institutional policies and practices, and the board depends on the president for information and execution of policy, the relationship between the two might best be described as one of mutual dependence. Boards cannot govern alone; due to the nature and differences among institutions and individual board members (trustees), input from the president, other administrators, and faculty members can assist boards to become more effective (Taylor, 1987).

The chief executive officer, the president, is the agent of the board in whom the care and management of the institution is entrusted (Chait, Holland, & Taylor, 1996; Nason, 1997). Knowledge about performance review practices can improve the universal practice of assessing the chief executive's effectiveness by pointing to sound standards. It was hoped that knowledge about presidential performance appraisal would aid the president in his or her effort to perform at the highest level. Since a more effective chief executive officer goes hand-in-hand with a more effectively functioning institution, knowledge of sound evaluation principles will contribute to efficient assessment of both the president and the board itself and the development of general efficiency in both. Potential individual and personal development are crucial outcomes for the agent the board has chosen to represent them and in whose care the institution is entrusted.

Conceptual Framework

Presidential Scholars

Multiple sources of data were collected to include: what Virginia colleges and universities report on whether they are conducting informal or formal presidential evaluations, the frequency with which such assessments are conducted, what criteria are used to collect data on Virginia college and university presidents, who was responsible for determining evaluation criteria, and, lastly, whether criteria used are related to responsibilities identified as things we know the president should be doing, the PES, and presidential job descriptions, or contracts. Information was gathered from three major sources; scholars on the presidency and leadership in higher education, board chairs, and presidents of Virginia colleges and universities, all considered as they relate to PES theory.

See Figure 1.

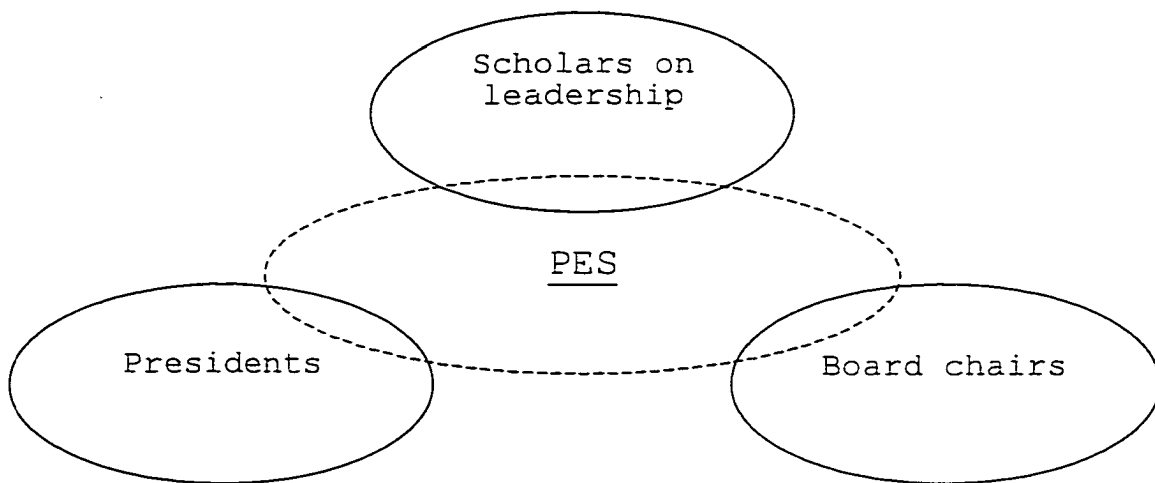


Figure 1

The role of the college or university in the United States is based on discovery of new knowledge, the practical application of existing knowledge, and communication of that knowledge to students and the general public. Therefore, the primary missions of higher education institutions, teaching, research, and service, must be achieved through the articulation of the president.

Historically, the role of the college or university president has been central to successful development of institutions of quality and stability. The requirement for leadership on the part of the president has been, and will remain, critical. Governing boards have the ultimate legal responsibility for the development and management of institutions under their authority. The president plays a crucial role in the development and maintenance of institutional quality and stability as the only administrative agent of the governing board (The President and the Governing Board, 1989). Numerous scholars have studied the various aspects that framed this study. Some academicians concerned themselves with the relationship between the president and the board (Chait, Holland, & Taylor, 1996; Doser, 1990; Fisher, 1991; Kauffman, 1980; Nason, 1993; Taylor, 1987), what constitutes the concept of leadership in the higher education arena (Bensimon, 1989; Birnbaum, 1992; Chait, 1998; Cohen & March, 1874; Fisher and Koch, 1996; Kerr, 1984; Levine, 1998; Munitz, 1998; Trow, 1994), and, of particular importance for this study, assessment practices and theories regarding presidential performance reviews (Joint Committee on Standards for Educational Evaluation, 1988; Nason, 1997).

Evaluation Theory

An overarching concept in the conceptual framework is that of personnel

evaluation theory, as reflected in the PES, which typifies the soundness of practices undertaken to determine effectiveness of personnel in education. In evaluation, the relative value of the object or person being reviewed is of primary concern. Evaluators are interested in determining whether the outcome expected has occurred or is occurring in relation to what was intended.

The need for sound evaluation of education personnel is clear. In order to educate students effectively and to achieve other related goals, educational institutions must use evaluation to select, retain, and develop qualified personnel and to manage and facilitate their work (Joint Committee on Standards for Educational Evaluation, 1988, p. 5).

Those who manage and lead educational institutions often have been ineffective in carrying out their personnel evaluation responsibilities (Andrews, 1985; National Science Foundation, 1983). Uncertainties concerning the outcome of presidential evaluations, in particular, are also well documented (Beaudoin, 1986; Fisher, 1996; Nason, 1997). Overall, personnel, and in particular, presidential performance reviews have been criticized for their failure to assess those who serve the presidency for a variety of reasons.

Evaluation practices have failed to (1) screen out unqualified persons from selection processes, (2) provide constructive feedback to individuals being evaluated, (3) recognize and help reinforce outstanding service, (4) provide direction for development programs, (5) provide evidence that withstands professional and judicial scrutiny, (6) provide evidence efficiently and at reasonable cost, (7) aid institutions in terminating unproductive personnel, and (8) unify educators and leaders (Joint Committee on Standards for Educational Evaluation, 1988).

Standards for personnel evaluation have been established to correct deficiencies in current practice, coordinated by a sixteen-member Joint Committee of educational evaluation experts. Central to their purpose was the goal to present educators and board members with a widely shared view of principles for developing and assessing sound, acceptable personnel evaluation procedures accompanied by practical advice for implementing the standards (Joint Committee on Standards for Educational Evaluation, 1988).

This analysis attempted to explain and interpret both the associations and relationships between phenomena (evaluation and outcomes). The problem was both individual and organizational as feedback was solicited from individuals whose response was both personal and general in nature. As the basis of the study concerned assessment theory and practice, the emphasis on what presidents and board chairs report as being of value to them as they determine standards for performance reviews and then proceed with the evaluation was of prime consideration. The problem's orientation was based on information that has evolved from literature on the presidency, the relationship between presidents and boards, scholars of the presidency and leadership in higher education, and evaluation theory exemplified in the PES

Limitations and Delimitations

This study attempted to describe how presidential performance reviews are conducted in Virginia colleges and universities, what criteria are used for the appraisals, who determines evaluation criteria, and by what means the criteria are related to measures usually believed to be standard. Proven or acceptable methods to accomplish the

appraisal, however, are unknown. Also, other problems exist in evaluation processes currently in use, such as ensuring presidential credibility. This exploratory study served to identify and clarify these unknowns.

Since the target population is higher education institutions located in the Commonwealth of Virginia, results can be generalized only to similar types of institutions located in other regions of the country. Implications of the study are dependent on the extent the researcher believes the responses from Virginia institutions are typical of those that are reported in other similar studies.

Board chairs and presidents of colleges and universities are extremely busy people. One limitation is that member checks, which serve to validate that interviewees' comments are accurately recorded, were not done. Instead, the researcher accepted the fact that the presidents could not give any more of their time to read over the interview transcripts for accuracy. To account for this, care was taken to clarify presidents' comments during the initial interviews. Additionally, data derived from the survey is self-reported, and validity of findings depends on board chairs' concept of what actually occurs during a presidential assessment and results that are gleaned from the evaluation.

Also, presidents were approached for interview at all 26 institutions where the board chair had responded to the survey. However, only 20 interviews took place. Common reasons why the six presidents did not agree to an interview included lack of time during a busy stage in the spring semester schedule and adherence to a policy on the part of a few presidents that they do not participate in surveys or interviews.

Given the parameters of the study, results help to inform higher education leaders how they can cultivate more responsive and better managed colleges and universities when

standards and criteria are determined for appraisals. Since some scholars of presidential assessment (Fisher, 1996; Fisher & Koch, 1996) believe that public and formal presidential performance reviews can actually undermine the credibility of the chief executive officer, an added dimension of the study was to examine the extent that clarity in the use of evaluation criteria can lead to increased effectiveness of the president and, therefore, the institution.

Definition of Terms

Assessment

Often used in literature to infer a formative or "in progress" type of judgement of worth, for purposes of this paper, the term "assessment," "evaluation," and "performance review" were used interchangeably to refer to the process of gathering information to determine effectiveness; none of the terms should imply a negative connotation but merely represent an estimation of worth or value based on predetermined criteria.

Evaluation

Often used in literature to infer a summative or final judgement of worth, for purposes of this paper, "evaluation" was used to refer to the process of gathering information to determine effectiveness.

Performance Review or Appraisal

An estimation of value or worth based on predetermined criteria, "performance review or appraisal" is a process of gathering information to determine effectiveness.

When the review is a more or less systematic attempt on the part of a governing board of a college or university to appraise the performance of the president, it is referred to as a periodic performance review.

Formal Evaluation

Choices based on systematic efforts to define criteria and obtain accurate information about alternatives (Worthen & Sanders, 1987), "formal assessment" is typified by announced purposes and procedures, established timeframes for completion, checklists, individual ratings by each trustee, open group discussions of findings, and written reports documenting the procedures and results (Presidential Evaluation: Issues and Examples, 1990). Usually when the stakes are high, formal evaluation is indicated, since the person(s) requesting the appraisal must often answer to a higher authority.

Informal Evaluation

A type of assessment that occurs whenever one chooses from among available alternatives; sometimes "informal evaluation" is the only practical approach (Worthen & Sanders, 1987). This type of evaluation is typified by individual oral interviews by trustees with selected individuals, indefinite timeframes, closed door discussions by the board of the results, and oral presentation of results only to the president (Presidential Evaluation: Issues and Examples, 1990). Informal assessment is distinctive in that choices are based on highly subjective perceptions of which alternative is best.

Trustee or Board Member

The term, "trustee," was used interchangeably with "board member" in this study and connotes those members of the governing board who sit on the board and serve as overseers to manage the affairs of the institution and who hold legal responsibility for the institution (Taylor, 1987).

Board Chair

The "board chair" is the spokesperson for the governing board who, in most cases, is the primary supervisor to the president.

President

The term, "president," was defined as the chief line officer who reports to the board of trustees and is responsible for the administration (day-to-day workings) of the institution and implementation of policies established by board members.

Chapter 2: Review of the Literature

Early Presidential Assessment Efforts

We all evaluate informally every day, whether we assess the variety of items found on a restaurant menu, the ramifications of a recent installation of a traffic light, or the professional image of a college president. College and university presidents live in the public domain, where the president's appearance, behavior, management skills, and decisions affect various aspects of the entire educational community. Community members, including students, faculty, staff, alumni, trustees, state legislators, church officials, and local citizens have always passed judgement on the president and likely always will. The judgements, however, have traditionally been informal. In the last decade or so evaluation has become more formal, purposeful, or institutionalized instead of the previous tendency to be intermittent, fragmented, impulsive, or spontaneous (Nason, 1997).

Kingman Brewster, former president of Yale University, first brought public attention to presidential evaluation in an address to the Yale Political Union in 1969. He argued that the purposeful effort for accountability, the effort to hold a person responsible for his/her actions, is essential in the present-day management of educational institutions. The sources of this phenomenon of accountability are complex and varied. Impetus is based on the tidal wave of students clamoring for a college education after World War II,

revolutions in campus mores and governance during the 1960s, and a better educated public that is not hesitant to challenge authority. All of these events contributed to a climate that demands that all spokespersons for public institutions be accountable (Nason, 1997).

The germinal study on presidential evaluation was directed by John Nason in 1980 for the Association of Governing Boards of Universities and Colleges (AGB). Although in this study he discovered no clearly established pattern of procedure for evaluating presidents, he did find a trend that more formal evaluation was becoming more pronounced. The crucial question had become not whether to evaluate, but rather how to evaluate. Guidelines developed by Nason for presidential evaluation were compiled and first published in 1980 with subsequent revisions appearing in 1984 and 1997. The latest revision was undertaken to emphasize the increased concern over the negative consequences of formal and public assessments. As more institutions developed formal assessment mechanisms, some evaluators mistakenly solicited input inappropriately from public, student, or faculty sectors, which resulted in threatened presidential authority, since those questioned often felt that something was wrong with the president or they would not have been asked for their input. Nason's revisions stressed that the goal of presidential evaluation is to enhance, not undermine, presidential authority, and the updated Guide outlines procedures for better practice with this goal in mind (Nason, 1997).

Formal evaluations in which guidelines, schedules, and objectives are predetermined, are still the exception rather than the rule in American colleges and universities. A 1976 survey conducted by the American Association of State Colleges and

Universities (AASCU) found that only 14 percent of their 321 members conducted formal evaluations of their presidents, and another 11 percent did so on an informal basis (Nason, 1997). However, by 1980 Nason found that 38 percent of responding AGB member institutions conducted formal presidential evaluations, and 48 percent conducted informal evaluations. Clearly, the practice of conducting formal evaluations was growing. Nason (1997) noted that 20 percent of the boards reporting informal presidential assessments intended to develop formal procedures in the near future. In a national study sponsored by AGB, Schwartz (1998) found that 36 percent of presidents indicated that reviews occurred at a specified interval.

In environments where performance reviews are conducted, experts distinguish between the terms "assessment" and "evaluation," according to the purpose of the review, at what stage the review is conducted, and the spirit in which the review is undertaken. The term chosen almost has a cultural ring to it in some circles. For example, in military teaching institutions the term, "evaluation" describes a final estimation of worth, one on which a Servicemember's promotion or credibility depends. Assessment is often thought of as a periodic or formative venture, whereas evaluation is often thought of as a more final, summative action, which either blesses or denounces the person or program being reviewed (Worthen & Sanders, 1987). For purposes of this paper, the terms "assessment," "evaluation," "appraisal," and "performance review" will be used interchangeably to refer to the process of gathering information to determine effectiveness; none of the terms should imply a negative connotation but merely represent an estimation of worth or value based on predetermined criteria. Since the terms are used repeatedly throughout the paper, varying the terms serves to decrease repetition that would likely

result.

Function of Educational Evaluation

In assessment, the relative value of what is being judged is of primary concern. Evaluators are interested in determining whether the expected outcome has occurred or is occurring in relation to the intended. The assessment methods are not content specific; similar procedures are used to evaluate the effectiveness of an educational program, a new appliance, or an architectural plan. Methodological activity must take place to obtain information that can be used to make statements of worth regarding the focus of the assessment. Assessment procedures involve a prescribed gathering of data and relating that data to a weighted set of goals or scales in order to allow people to make judgements of worth (Ornstein & Hunkins, 1988).

Both institutions and persons regularly choose among alternatives based on their estimation of the degree to which these alternatives assist in meeting their goals. This assessment may be based on empirical or theoretical knowledge of the probable outcome of a given action. Worthen and Sanders (1987) define assessment as "the act of rendering judgements to determine value - worth and merit - without questioning or diminishing the important roles evaluation plays in decision-making and political activities." Assessment is, therefore, an act of measurement, requiring both evidence and a standard or scale. which assists one in meeting prescribed goals. Assessment should be inherent in the planning and operation of any program, whether it is a national defense program, the delivery of adult literacy courses, the provision of health services, or one's personal life to establish the value of the program or activity. We all assess on a daily basis either

objectively or subjectively, consciously or subconsciously (Bennett & Lumsdaine, 1975).

Assessment has existed both formally and informally in organized society for as long as mankind has retained records. As early as 2000 B.C. the ancient Chinese gave civil service examinations. Early Greeks, such as Socrates, evaluated their students. Formal assessment was used by Horace Mann to collect empirical information to support decision making in schools in the mid-1800s, and Joseph Rice conducted comparative studies of student spelling performance in a school system in the late 1800s (Worthen & Sanders, 1987).

Since the early part of the twentieth century, educational evaluation in the United States has been concerned itself with three major movements: (1) evaluation of student performance, (2) evaluation of projects and programs, and (3) evaluation of teachers and other educational personnel to include administrators. By the 1960s and 1970s various models of assessment evolved in response to educators' efforts to study also curriculum revision and resulting decisions on funding. At this time, the term "accountability" became routinely seen in evaluation literature. Policymakers were looking for evidence that their social reforms were successful and worth the funds expended. As the evaluation of students and programs in the 1970s and 1980s revealed deficiencies in student performance, pressure increased for evaluation focused on accountability of educators and those who administer to educational programs (The Joint Committee on Standards for Educational Evaluation, 1988).

During this period of increased educational evaluation, hastily constructed personnel evaluation systems were developed as a result of attention drawn to poorly functioning student, personnel, and learning programs. In 1988, fourteen professional

societies in education pooled their efforts to develop sound personnel evaluation standards to assess personnel evaluations in schools to integrate efforts to improve student, program, and personnel performance and outcomes. This included educational administrators, faculty committees, and members of policy boards. Although those conducting appraisals agreed standards were necessary, the administrators, faculty and board members on this special committee further determined that evaluations should be drawn from specific criteria so that school appraisals are *proper, useful, feasible, and accurate*. Employing these standards to design sensible and reasonable assessment of college and university presidents might fill the gap where other assessment methods have failed. Underlying the framework of any educational assessment methodology is the belief that assessment can play an integral role in improving the program or effectiveness of the administrator in charge (The Joint Committee on Standards for Educational Evaluation, 1988).

In higher education institutions a major theme of educational concern that pervaded governing board members as well as the public in the 1980s was that of quality. Implicit in the movement was the charge that too many institutions did not know the outcome of their efforts to engender learning. Since colleges were evaluating a full spectrum of programs and personnel during the decade of the eighties, institutions experienced what might be thought of as the flowering of the assessment movement. It was obvious that the call was not only for accountability (in many cases to qualify for state, federal, and other funds), but also for instruments and techniques to enable improved instruction and learning (Kauffman, 1993).

As a result, identification and remediation of basic skills deficiencies, utilization of

value-added concepts, and creation of improved learning environments are now routine activities at most institutions. Also, governing boards more often expect to receive regular reports on such matters and action taken to assure continuing improvement in educational outcomes and academic programs. Although a governing board's credibility stems from its understanding of and familiarity with how things are going, until the 1980s boards customarily avoided any type of assessment of their own performance or that of the president. Boards have come to realize the importance of periodic assessment of the college's operations and, most important, of the chief executive officer's performance (Kauffman, 1993).

Relationship between the President and the Board

The role of the governing board members, also called trustees, is complex, difficult, time consuming and rewarding (Nason, 1993). Marian Gade, who has extensively studied the relationship between the board and president, said that "together, board and president hold the present and future of the institution in their hands" (Bensimon, 1989, p. 13).

The root of lay trusteeship, a mechanism of governance devised in Europe, was modified in America, and the governance system blossomed into the unique structure it is today. The English system of strong faculty self-governance with only slight external influence could not be transferred intact in the developing American colonies. The Massachusetts Bay Colony had neither the financial nor scholarly resources that existed in Oxford and Cambridge and, therefore, a Board of Overseers -- with six male government officials and six male clergymen -- was appointed to manage the affairs of the first higher

education institution in the new world, Harvard College. Due to a lack of mature professoriate, early boards were composed largely of clerics. By the mid-1800s, board members began to be replaced by businessmen and alumni who would bestow prestige and philanthropic support on the college and also ensure that the institutions responded to society's changing needs (Taylor, 1987).

The board presided at the head of the governance hierarchy; the president attended to academic matters and the running of the college. Although college presidents developed who were generally strong, visionary, and often autocratic leaders in the nineteenth century and in some instances the early part of the twentieth century, few boards lacked influence. The system of lay board influence (where the board is largely composed of businessmen) has continued through present day where control in the American college is balanced between internal (presidential) and lay (board) segments. In both public and private institutions, boards are viewed as a venue that represents the broadly defined public interest in higher education. Board control in American colleges and universities has been viewed as a means of ensuring simultaneously institutional autonomy and accountability to the public (Taylor, 1987).

Boards assume responsibility for all aspects of institutional management within the limitations specified by law and the school's charter (The President and the Governing Board, 1989; Taylor, 1987). The board's responsibility generally is to set and monitor policies that guide presidents to administer in the day-to-day operation of the college. Good boards provide the continuity and stability necessary to guarantee the integrity of the institution (Doser, 1990). Since the board is vested with final authority over institutional policies and practices, and the board depends on the president for information

and execution of policy, the relationship between the two might best be described as one of mutual dependence. Boards cannot govern alone; due to the nature and differences among institutions and individual board members (trustees), input from the president, other administrators, and faculty members can assist boards to become more effective (Taylor, 1987). The president's crucial role in development and maintenance of institutional quality and stability is that of the sole administrative agent of the board as a representative of each constituency involved with the institution (The President and the Governing Board, 1989).

Nason (1993) proposes that if higher education is as essential to the health of the country as most of us believe, and if governing boards are the "keystone" in the governance process, then trustees hold crucial responsibilities.

Responsibilities of the governing board include:

- Appointing the president
- Supporting the president
- Monitoring the president
- Insisting on a clear institutional mission
- Insisting on long-range planning
- Reviewing the educational program
- Ensuring good management
- Preserving institutional independence
- Relating campus and community
- Serving as a court of appeal
- Assessing board performance (Nason, 1993).

Different schools of thought among scholars might at first seem apparent regarding the roles of trustees. Taylor's (1987) list of board responsibilities includes many that Nason mentions; however, she adds responsibility implicit in Nason's list that are not specifically stated, such as delegating authority and developing and preserving physical facilities. In Fisher's list (1991), he presents his viewpoint as a challenge to conventional

thinking on who should assume primary responsibility for tasks that routinely exist in university governance. He claims that board responsibilities must provide the president the opportunity to play the key role in institutional leadership. However, with only slight exception, functions that he lists as priorities appear the same as those of Nason and of Taylor. Fisher's view differs slightly in that he feels change is indicated regarding board responsibilities so that the presidency can be strengthened, but his list of board responsibilities do not indicate this difference in viewpoint.

The relationship between the president and board must be carefully fashioned so that the institution can operate in an optimal manner. In the effort to consciously define the president's and the board members' roles, boards need to focus on the outside world, both the community and the college, rather than the internal workings of the school, and the effects of the college on the world. By shifting their attention outside the institution, boards lessen the tendency toward over-involvement in the administration and toward responsible representation of all constituents (Sherman, 1993).

Once the board has established its role to include policy decisions about organizational outcomes, executive limitations, and board-executive relations based on the unique characteristics of the college and the constituents, then the role of the president can be defined. Although presidents carry the crucial responsibility toward seeing to the education of their trustees (Doser, 1990; Sherman, 1993), trustees have the ultimate responsibility for good relations with their presidents, which includes a statement of shared vision and the priorities used to achieve that vision (Doser, 1990; Neff, 1993; The President and the Governing Board, 1989; Sherman, 1993).

Veteran college president, Joseph Kauffman, states that what contributes most to

presidential success is good relations with the governing board. Since the president is serving "at the pleasure of the board," a major task, therefore, is to gain and maintain the board's confidence. Crucial actions are to never take the board for granted and to establish effective communication with them (Kauffman, 1989). Both Kauffman (1989) and Gade (Kerr & Gade, 1986) feel that the most important relationship is that between the president and the chair of the governing board, since the chair is the spokesperson for the other trustees who cannot be present as often.

Parallels between Business and Higher Education Boards and Presidents

Although both corporations and institutions of higher education have grown enormously in social importance in the United States, they have also grown more apart from each other ideologically (Kerr, 1994). It is common practice to compare business enterprises with colleges and universities, because many of our ideas about organization and management come from studies of business firms. However, colleges and universities differ in many ways from other organizations. The most significant concept that affects the way they differ is that of governance, which provides for ownership of the college by various constituencies, with the underlying idea that the organization is for the good of the people (Birnbaum, 1988; Baldrige, Curtis, Ecker & Riley, 1978).

Nason also has written widely for the non-academic sector, and his teachings on assessment of the chief executive officer (CEO) administering under direction of other types of governing boards (not unlike the president supervising in an institution of higher education) reflect similar sentiments. In a report Nason (1990) prepared for the National Center for Nonprofit Boards, he emphasized that the immediate purpose of assessment is

to appraise the progress and health of the organization and the CEO. He continued to say that good chief executives are not easy to find. They need to be nurtured and encouraged in part by identifying and addressing their weaknesses. Since turnover at the executive level is costly to any organization, every effort should be made to develop and keep good CEOs, and, therefore, assessment of strengths and weaknesses is indispensable. If properly done, the assessment will be a source of comfort and strength to the CEO, who needs to know where he or she stands. Nason emphasized three cardinal rules for CEO assessment: 1) do it; 2) do it in a humane and sensitive manner; and 3) make it a constructive, regular exercise for the chief executive, for the board, and for the organization.

Another panel of corporate governance experts was convened by the National Association of Corporate Directors (NACD) in 1994 and issued a comprehensive set of recommendations for evaluating the performance of CEOs, boards of directors, and individual members of boards. The NACD panel concluded that evaluation of CEO performance is a fundamental duty of directors, since they are responsible for management oversight. The panel stated that benefits of CEO performance evaluation can 1) facilitate board - CEO communication, 2) help the CEO identify personal strengths and weaknesses and ways to capitalize on and correct them, 3) provide early warning signals of potential problems, 4) foster a sense of teamwork, 5) increase the likelihood that the board will support the CEO in times of crises, and 6) signal to shareholders that the board is monitoring and evaluating the actions of the CEO. Another similarity between higher education institution boards and corporate and nonprofit boards is that they all emphasize that any CEO evaluation process must fit the unique environment or culture of the

company or institution that employs the CEO (Directors and Boards, 1994).

The question still remains whether higher education institutions should be following evaluation patterns and methodologies intended for chief executive officers in nonprofit or corporate sectors when they review the president. Perhaps it is more appropriate to follow standards for evaluation of educational programs, institutions, and personnel. Those in the business sector do not have an understanding of the intricacies and complexities inherent in and unique to colleges and universities. A look at leadership patterns and requirements in the higher education environment might help shed light on this dilemma.

Leadership is a concept that is difficult to discuss, because there is no agreement on how leadership should be defined, measured, or assessed. Also, most studies have investigated leadership in business organizations, the military, and government agencies with limited attention given to higher education. Leadership is more complex in colleges and universities because of dual control systems, conflicts between professional and administrative authority, unclear goals, and other unique properties of professional organizations.

Birnbaum (1988; 1992) believes that leaders in higher education need other conceptual orientations to guide their behavior regarding administration and bringing about change in the organization. He further stated that the performance of colleges might be less dependent upon presidential leadership than most of us want to believe. Presidential leaders who seek major changes or believe them to be effective are likely to be disappointed. In fact, Birnbaum (1989) cited a study where data were collected from colleges and universities using scores on institutional functioning. Analysis of the findings

indicated that institutional functioning did not change when presidents changed. Other leadership critics stress that the chaos, complexity, and unmanageability of colleges and universities makes leadership in them impossible (Cohen & March, 1974; Keller, 1983; Trow, 1994). The outlook on managing higher education institutions has appeared dismal during the past decade.

More recently, those who study leadership in colleges and universities have taken a fresh look at the concept and have emerged from their discussions with more optimism. Lipman-Blumen (1998) has decided that the time has come for business organizations to take a few lessons in leadership from higher education, rather than the other way around. Higher education has for the past decade been attempting to operate more like corporations, and other than the advantage that our finances are now more secure, the effort has failed to recognize a larger, more ennobling goal, that of creating "meaning." She calls for more connective leadership that encourages dedication, sacrifice, creativity, and innovation, leading to an environment where faculty, students, administration, and society all share in enriched meaning in their lives. In such institutions, she believes, governance is shared and autonomy is heightened.

Chait (1998) also does not believe that higher education is in the midst of a leadership crisis. Changing diversity in society and in our leadership has forced us to rethink how our leaders should look and leads to a reasonable assumption that the need for leadership "giants" of days gone by is no longer appropriate in our present environment. Also, he feels that not only are the "good old days" not so good but also that numerous signs abound leading us to believe that a college degree today is still highly valued in our society. What is needed in today's colleges and universities is servant

leadership that is intent on the development of a visionary organization and one which does not necessarily include heroic figures (Chait 1998; Joseph Kauffman, personal communication, November 20, 1997; Kennedy, 1994).

Although a standard viewpoint on what constitutes an effective college president does not exist, when asked what traits describe an effective leader in higher education, scholars often mention the ability to communicate effectively and interact with a wide variety of constituents (Costello, 1993; Johnson, 1993; Roueche, 1988). Other traits deemed necessary are the ability to make decisions (Johnson, 1993; Wright, 1988) and commitment to the campus and to collegiality (Costello, 1993; Johnson, 1993; Wright, 1988). However, most scholars (Costello, 1993; Johnson, 1993; Roueche, 1988) agree that the most critical quality an effective higher education leader can possess is that of vision and the ability to create vision.

Arthur Levine (1998, p. 45) calls for presidents to lead who "champion the best ideas and translate them into practice." Barry Munitz (1998, p. 9) suggests that "virtually all forms of leadership are inspirational and involve facilitating change." Strong leaders, he feels, require courage, a willingness to take risks, an ability to dream about alternatives, and the capacity to inspire members from all constituencies toward common goals. An underlying value within these fresh, new attitudes is a commitment to values and to the contribution for the good of the whole.

Purposes of Presidential Evaluation

As colleges and universities have become increasingly complex and are beset by conflicting demands and expectations from more diverse publics, trustees have an

obligation and legal responsibility to ensure that the institution is managed well. Trustees need reliable and comprehensive methods of assessing the effectiveness of the academic administrator they have employed to represent them. Presidents also need helpful feedback, advice, and support from trustees. Because of this mutual need, examination of a presidential review process is relevant and important, so effective assessment mechanisms can be used to benefit the trustees, the president, and the institution. The most salient issue is how to devise and put in place a sensitive and sensible system that informs all parties (Beaudoin, 1986).

According to Nason (1997), the major purposes of presidential evaluation are:

- To fulfill the board's responsibility for the well-being of the institution.
- To strengthen the president's position and improve performance.
- To review and improve the governance of the institution.
- To review and reset institutional goals.
- To educate trustees, faculty, and others on the president's role.
- To decide whether to retain or fire the president.
- To set an example for faculty and staff evaluations.
- To set salary.

The purpose(s) that the board hopes to achieve by the evaluation will dictate the assessment procedures employed. Nason (1997) states that the first four purposes are the most significant; the last four are by-products of the first group.

Many contemporary scholars of presidential evaluations believe the primary purpose of conducting reviews centers on providing information for guiding the self-development and improvement process of the individual undergoing scrutiny (Bass, 1990; Seldin, 1988; Vineyard, 1988). The effectiveness of the president is also closely tied with the board's effectiveness, because the president is the agent of the board (Kauffman, 1980). In essence, the evaluation requires a review of the presidential-board relationship

and assessment of the board's performance as well. Most contributors feel that the real value of presidential evaluation resides in the process of the president and board members thinking through the institution's long-term goals together (Frantzreb, 1981). Fisher (1996) and Fisher and Koch (1996) further state that a successful evaluation should accomplish two things: (1) fulfill the board's responsibility to evaluate the president and (2) increase the legitimacy of the presidential office.

Methods of Presidential Evaluation

Experts are united in their belief that the responsibility for evaluating the president rests with the governing board of the institution (Fisher, 1991; Nason, 1993). Nason (1993) states that governing boards are the "keystone" in the governance process and that trustees hold crucial responsibilities. Fisher (1991) believes that the most sensitive and delicate responsibility of the governing board is the evaluation of the president.

However, experts are not united in their thinking regarding the established pattern presidential appraisal should take. Procedures currently in practice range from completely casual to highly structured, and from intermittent or scheduled at regular intervals to virtually continuous. No single way has been determined which is right or best for assessing presidential performance in all situations, largely because of the uniqueness of each institution and its mission. Nor has a consensus been reached on how often evaluations should be made. Clearly, the attitude of the board will determine the nature of the assessment, for we know that requirement for a successful assessment is a conscious intent to evaluate and improve effectiveness. The purpose of the assessment should be to help the president to improve his or her performance and in broader terms to improve the

institution. This involves a critical look at board performance and institutional governance as a whole. Performance needs to be seen in the light of institutional needs and goals which may, in turn, need to be reassessed and restated (Nason, 1997).

Experts agree that a properly executed presidential evaluation includes a consciously planned design that is clear about the purposes to be achieved and the methods used. The plan should be developed in cooperation with the president. Ideally, the plan should be agreed upon at the time of appointment if not already by bylaw or precedent and should be an appraisal of all aspects of governance. Control throughout the assessment process must remain in the hands of the governing board members, and all participants must understand that control belongs there. As the ultimate purpose of the evaluation is to help the president and to strengthen the institution, it is preferable to separate the assessment from decisions regarding reappointment of the president or compensation questions (Nason, 1997).

Since the role of college and university presidents is unusually diverse, complex, and demanding, the task of apprising the performance of the leader accurately, fairly, and objectively is also difficult. Scholars from the American Association of State Colleges and Universities (Evaluating College and University Presidents and Ethical Practices for College Presidents, 1988) state that all presidential evaluations should be conducted when their purposes and potential use are clearly understood and prescribed in advance by the board. Additionally, appraisals should focus on previously outlined mandates and statements of expectations by board members which, in turn, should relate to both the characteristics of the institution and the internal and external factors that affect it. Presidential expectations should be presented to the chief executive before the time of

initial appointment or time of reappointment. Additionally, authors state that the evaluation should be conducted in the context of a general institutional evaluation, such as those conducted during standard fifth- and tenth-year reports and should set a positive example for guiding all institutional evaluations.

Trustees should look at the long-term picture by evaluating routinely, not just at the time of crisis. Members should make the evaluation process constructive by addressing such things as present leadership, long-range planning, budgeting and finance, condition and adequacy of facilities, curriculum development, meeting educational and training needs of the community, honest public relations, and selection and retention of qualified personnel (Doser, 1990).

Although no clear dividing line exists, evaluations fall into two general classes - informal, which tends to be frequent, private and confidential, and formal, which tends to be regularly scheduled every one to five years and public. The ideal assessment environment is more readily realized in private rather than in public institutions, since the private environment is usually less encumbered by outside constituency interference, such as state government and other political forces. Also, in institutions where trustees and the president work together with complete understanding and trust, where the assessment of the president's performance is continuous, and where the president can turn to the board for advice and assistance at all times a more ideal situation for assessment exists (Nason, 1997).

Informal or formal, all evaluations should begin with a self-assessment by the president so he or she is given the opportunity of saying what he or she considers to be the major responsibilities of the office and how these responsibilities have been met. Public

opinion about the president's performance is relevant, but should be sought under carefully controlled conditions. The issue of openness versus confidentiality must be carefully balanced, as results of more formal evaluation must be made public to respond to legitimate questions and allay suspicions. All in all, the trustees must at all times be open with the president. The president must know that the board intends to conduct an evaluation and should be given every opportunity to participate in the planning of the evaluation (Nason, 1997).

Informal versus Formal

Scholars of the presidency have been struggling with the question of the level of formality and structure of presidential assessment for the last decade. Sheikholeslami (1985) was so disturbed by the inadequate attention paid to formal assessment of the chief executive officer that he attempted to develop a process and an instrument for presidential assessment. Others felt that too much structure hindered the potential benefits inherent in the process.

When Beaudoin (1986) studied the growing trend of formal presidential evaluation, she concluded that the practice appeared more destructive than constructive in strengthening presidential leadership. In the past, casual observations, the campus grapevine, and other informal, if at times arbitrary or capricious, methods were the primary means of determining whether the president was appraised positively and asked to remain in his or her leadership position. Such a decision was largely a private matter between the president and board members. However, in the 1960s and early 1970s, due primarily to pressures for accountability stemming from political, economic, and societal forces, formal assessment was developed to determine whether the president was an

effective leader. Formal evaluation is periodic, official, and a more public assessment of presidents based on systematic searches for input from a wide range of constituencies, often including faculty, administrators, students, alumni, and colleagues from outside the institution, in addition to trustees. What was formerly a private, quietly and infrequently discussed encounter between president and trustees evolved in a public event for an increasing number of chief executives in higher education institutions.

Formal evaluation

Specifically, formal presidential evaluations are typified by inclusion of most of the following elements:

- Announced purposes and procedures for the evaluation
- Established timeframes for completion
- Checklists, statements, or both
- Individual ratings by each trustee
- Open group discussions of findings
- Written reports documenting the procedures and results

Formal evaluations provide a systematic opportunity for trustees and the president to take stock of the current status of governance at the institution and plan appropriately for improvement. The advantages of formal assessment are that they are more likely to:

- Focus attention on the governance of the college instead of the personality or individual style of the CEO
- Incorporate the assessment and reformulation of college goals and objectives into the planning process
- Offer a rational, orderly, and systematic approach to presidential evaluation
- Reveal the complexity of the president's job
- Expose the way in which the board and president cope with administrative problems and change
- Strengthen the position of the board by highlighting their supervisory responsibilities
- Emphasize accountability for both the board and president, thus integrating the role of board members in the wise management of the public "trust" bestowed on them (Presidential evaluation: Issues and examples, 1990).

Informal evaluation

Informal evaluations are typified by inclusion of most of the following elements:

- Individual oral interviews by trustees with selected people such as staff, students, and community or constituency members
- Indefinite timeframes
- Closed door discussions by the board of the results
- Oral presentation of results only to the president

Many feel that if trustees are continually and appropriately monitoring both the administration of the president and of the trustees themselves then the evaluation process should be a simple recording of already known strengths and suggestions. Informal assessment appears then to get the job done with the greatest efficiency and least amount of risk. Advantages of informal evaluations are that they are more likely to:

- Allow trustees to maintain control of the process by limiting the input by other groups such as faculty or alumni
- Avoid the publicity associated with formal assessment
- Create a minimum amount of disturbance in the college since only trustees may know an evaluation is occurring
- Facilitate confidential reporting to trustees which may deliver more reliable information than publicly reviewed results of surveys and interviews
- Require very little advanced planning or organization

Since informal evaluations can be conducted quietly and efficiently, reports can take the forms of a letter to the president, an oral presentation at a board meeting, or an informal conversation with the president where ideas are shared on strengths and areas indicated for improvement. However, informal evaluations may accomplish the board's responsibility to evaluate the president's performance without reaping the benefits that can be realized through a formal process. The informal method may bypass a review of the institution's goals and objectives and, thereby, fail to expose lack of strategic planning or other trustee shortcomings and concentrate instead on personality and style issues rather

than program accomplishments (Presidential evaluation: Issues and examples, 1990).

Hubert's (1986) findings suggest that formal assessment might be more characteristic in select regions of the country or in different types of higher education institutions. He studied institutions in the state of California and concluded that evaluation procedures in the state did not parallel the expected national trend where formal assessment is standard. The procedure he discovered instead was likely ongoing, informal, and even casual, and evaluation results were not likely to be used by the board to assess their own leadership or effectiveness. He further suggested that formal procedures were much more likely to exist in large public systems where faculty has a strong voice in campus governance and where presidents have little face-to-face contact with their boards. In this type of environment, constituencies, including faculty, contribute more to input on the president. Also, board members are not as likely to have as intimate relationship with their president as they do in private institutions; therefore, formal appraisal produces more information about the CEO.

Although results of studies conducted by Beaudoin and Hubert in helped to expose the realities of what was actually going on in colleges and universities across the nation in the 1980s, little headway was made in the development of evaluation methods that are practical and sensible. In a national study sponsored by AGB, Schwartz (1998) investigated (1) how presidents are currently evaluated, (2) what the outcomes of the assessment process are according to both presidents and board chairs, and (3) what relationships exist between how presidential assessments are conducted and the outcomes presidents and board chairs report, particularly in regard to improving presidential performance. Her findings indicated that (1) most presidents appear to be assessed using

informal review procedures, (2) presidents reported almost no negative impact from reviews, and (3) procedures used to evaluate the performance of academic presidents and corporate CEOs were very similar.

However, it is still unclear what is going on in colleges and universities across the country regarding presidential assessment. Schwartz' received responses from about two-thirds of presidents nationwide who are AGB members. Although her study found that most presidents are assessing their presidents informally, it is uncertain what is happening in colleges and universities where presidents did not respond. By what criteria are those who are conducting evaluations assessing their presidents? To what extent are presidents judged on inadequate or mistaken standards?

Since each institution of higher education is unique in its structure, mission, pool of students, etc., assessment of the chief executive officer is likely unique also. Because of the individual nature of each institution, board, and president, it is not known what is a standard "best way" of performing evaluations.

It is also not known if the evaluation processes currently in place increase the effectiveness of the president, board, or institution. Since the improved effectiveness or performance of the CEO is a crucial issue for scholars, such as Nason, Fisher, Kerr, and Gade, this is a critical issue to investigate.

Determining Appropriate Evaluation Criteria

What Makes an Effective President

Evaluation criteria should be based on what traits or characteristics serve to make the president an effective leader. However, just as there is no well-defined model of the

president's job, there is no clear set of attributes that will ensure presidential success (Cohen & March, 1974). Birnbaum (1992) states that how the effectiveness of college and university leadership can be depicted and evaluated and by what criteria is one of the most vexing questions among leadership scholars. For many organizations there is neither an agreed-upon definition of leadership nor a viable measure of it. Because of multiple forces beyond their control that are moving to hasten or hinder the result, there is rarely a demonstrable link between a leader's decision and consequent events. Such difficulties between the relationship of leadership and performance make judging the success of a leader difficult.

Also, as a result of differing beliefs about the world and the leadership role, presidents are likely to differ in their agendas and how they carry out the president's job. Since the college and university presidency is not a firm, singular experience, its incumbents may conceive and experience it in diverse ways. Therefore, their view of leadership is very personal and unique (Neumann & Bensimon, 1990).

Scholars are not united in the factors they believe are most related to presidential leadership. Kauffman (1989) says that establishing criteria for assessing presidential performance is a must. He does not agree with Cohen and March (1974) who profess that the job is too ambiguous to appraise. Kauffman, instead, lists over a dozen areas on which to base assessment criteria: leadership, vision, quality, stewardship, staff relationships, relations with the board, political aspects, budgeting, use of consultants, time management, being oneself, and knowing when to leave.

Birnbaum (1992) states that the factors most related to positive changes in institutional leadership are when one is (1) a new president to the office, where her/she

enjoys a higher level of support from faculty, etc., (2) cognitively complex and uses multiple models to understand problems, and (3) able to use interpretive strategy versus linear strategy. Important qualities for effective presidents to possess are (1) high energy, (2) high tolerance for ambiguity, (3) being a good listener, (4) liking people, (5) and developing a system of supporters who will feed him/her information, for it is what one does not know is present that can hurt him/her (Atwell, 1996).

After his first year as president of Bradford College, Arthur Levine (1984) wrote a job description for himself. He stated that a college president should: (1) define the institution's mission and provide direction in achieving it, (2) inspire the college community and its publics, and (3) hire the best possible staff, then work with them and motivate them. Fourteen years later, Levine (1998) says that he has learned three important lessons regarding presidential effectiveness. First, powerful ideas and the people who formulate them provide leadership for higher education. Second, campus leadership and successful presidencies require people with the capacity to champion the best ideas and translate them into practice. Lastly, serendipity, or unforeseen circumstances, often play an important role in whether or not a president is successful.

From another point of view, effective presidents formulate a vision of the institution's future, build a consensus around it, and take the risks required to achieve that vision (Baliles, 1996; Fisher & Tack, 1990). Also, they lead the board and faculty through a process of clarifying the precise nature of shared governance on each campus and reducing ambiguities in authority and decision-making processes. Finally, effective presidents exercise the authority inherent in the position and do not allow themselves to be tentative in their ability to delegate, nor do they succumb to academia's appetite for

excessive consultation (Baliles, 1996).

What is expected of college and university presidents are competent, patient leaders who are constantly attentive to relationships and meanings. Presidents need to remind themselves of the importance of spending time nurturing and maintaining relationships on campus—especially with faculty—and of continually taking time to understand (so they can give voice to) that which is important to all community members, but especially faculty (Fujita, 1994; Koplik, 1985).

Beaudoin (1986) says that it is fairly straightforward for the board to formulate opinions on the president based on a balanced budget, student SAT scores, or a successful capital campaign that exceeded the goal. It is quite another to assess the indispensable human characteristics of courage, integrity, commitment, personal style, and sense of institutional vision which differentiates leadership from management. These intangibles illustrate the dilemmas for trustees who attempt to assess a president's performance, for it is the intangible, human qualities that set leadership apart from simply administering.

Effective presidents must be committed to the idea of excellence and high standards; they must be tactful, diplomatic and patient. Their personal qualities must include the gifts of persuasion, political adroitness, integrity, character, objectivity, adaptability, humor, and "amplitude of spirit." The most important trait may be the ability to define and articulate a sufficiently clear institutional mission that generates new understanding and provides a breadth of vision and perspective to all members of the organization. One president described the board's expectations for him as "the person with a vision of the University, and the chief spokesman and fundraiser for that vision" (Beaudoin, 1986).

Appraisal of these intensely personal and subjective traits according to standard criteria is no easy task. Also, the evaluation must be tailored to fit each institution's unique needs, and, thus, no two assessments are alike. Presidential assessment scholars, such as Nason (1997), emphasize that the ultimate purpose of the evaluation is to help the president (to include development and professional growth) and strengthen the institution (by also making it more accountable). These requirements are directly aligned with requirements for personnel evaluation prescribed by the Personnel Evaluation Standards (PES). Presently, we do not know if current evaluation procedures follow principles of sound evaluation theory. By applying what is known about educational assessment evaluation systems, it should be possible to adapt appropriate evaluation procedures and criteria by which educational personnel (presidents) can be judged.

Presidential Job Descriptions and Contracts to Determine Evaluation Criteria

Authorities who study presidential-board relations agree that drafting a written presidential contract is desirable to protect both parties (Appleberry, 1988; Neff, 1994). Based on reported information AGB gathered in response to a survey sent to a diverse group of American institutions of higher education, it appears that most institutions do not have a presidential contract or letter of agreement in place. Only 28 percent reported that *detailed* contracts were in place; an additional 50 percent reported that nondetailed to moderately detailed *incomplete* contracts or letter of appointment outlined their employment conditions. The shorter of these documents usually refer only to some parts of the president's employment, such as salary, length of employment, fringe benefits, automobile use, entertainment allowance, or housing (Neff, 1994).

In addition, a considerable difference among different types of institutions

regarding contracts exists. For example, almost all two-year institutions in the survey used some form of contractual letter or formal document. In contrast, 41 percent of liberal arts colleges and 28 percent of doctoral or research institutions had no formal employment document in place for the president. In cases where presidential evaluation is mentioned in writing, the documents provide little or no detail of how the assessment will be performed. Also, the briefer the contract or letter of agreement, the less often is any statement of presidential duties included (Neff, 1994). Additional information regarding the use of such documents would be illuminating. Of particular interest is whether written documents of agreements might serve to describe and/or dictate duties and responsibilities on which review criteria can be based.

Employing the PES to Determine Assessment Standards

Accountability and professional growth are the two most frequently cited purposes of personnel evaluation, whether one is assessing the effectiveness of a school system's superintendent or that of a college president. Although these two purposes might be thought of as incompatible, since one aspect often becomes overemphasized at the exclusion of the other, there is room for both accountability and professional growth purposes. A dual purpose system of evaluation is necessary for the review to productively serve the needs of those evaluated and the community at large (Stronge, 1995; Stufflebeam & Nevo, 1993).

The PES present criteria for judging evaluation plans, procedures, and reports. The Joint Committee defined personnel evaluation as "the systematic assessment of a person's performance and/or qualification in relation to a professional role and some specified and defensible institutional purpose" (Joint Committee, 1988, pp. 7-8). They

defined a standard as "a principal commonly agreed to by people engaged in the professional practice of evaluation for the measurement of the value or the quality of an evaluation" (p.12). The committee's stance is that all evaluations should have four basic attributes: *propriety* (evaluations are ethical and legal), *utility* (evaluations are timely, informative and useful in decision making), *feasibility* (constraints are reasonable and practical), and *accuracy* (information provided is correct and exact). The committee developed comprehensive sets of standards and practical guidelines that educators can use to examine the extent that any personnel evaluation system possesses these four attributes (Stufflebeam and Nevo, 1993).

The essential foundations used to model an evaluation system are two-fold: it must be simple enough to be easily understood, yet flexible enough to be useful across a wide range of scenarios. It is desirable that an evaluation model can be applied equally well to design assessment systems for all educational personnel, to include faculty, administrators, and other support personnel (McConney, 1995). In this instance, the PES can be employed to evaluate the effectiveness of presidents of higher education institutions, particularly as trustees focus on presidential development and professional growth and the ultimate strengthening of the institution.

At the core of a unified evaluation system model is the context of the institution's mission. For the evaluation process to be relevant to the organization's mission and responsive to public demands for accountability, determining the needs of the organization is central. McConney (1995) further states that evaluation systems must serve both institutional and individual goals while including aspects of worth and merit. Also, duties and responsibilities that will form the basis for determining the criteria (behaviors) by

which performance will be judged must be carefully and collaboratively decided. It is crucial that the list of duties be comprehensive, clear, and arrived at collaboratively with input from all stakeholders. Ownership of the evaluation system depends on this cooperation of derived input.

Once generic, job-specific, and site-specific duties have been collaboratively decided upon, experts agree that an essential next step is the determination of performance criteria, which are measurable behaviors representative of the job. Subsequent steps include criteria weighting (relative importance of each criterion to the aggregate evaluation) and criteria standards ("cut-scores" or standards that delineate *exemplary*, *satisfactory*, or *unsatisfactory* performance for each performance criterion). The authors emphasize that all criteria are to be determined a priori, that criteria are representative of the specific environment, and that evaluatees and evaluators communicate effectively in regard to the criteria (Ellett, Wren, Callender, Loup, Liu, 1996; McConney, 1995; Stronge, 1994).

Problems or shortcomings inherent in use of the Standards have also been voiced. Stufflebeam and Nevo (1993) state that school districts, state education departments, and universities need to carefully evaluate developments of such Standards before adopting them for use for a variety of reasons. They believe the Standards focus is on group rather than individual measures, narrow rather than a broad sets of indicators, and style rather than job performance.

Other critics (Edwards and Raju, 1989) claim that the Standards do not adequately address the skills, training, and experiences needed by the persons who would perform the assessment of the evaluation systems. They question whether assessors should be

specially trained in personnel evaluation and whether they all should share a common frame of reference necessary in order to perform the evaluation. Glasman and Martens (1993) take a very practical approach. They question the difficulty for any district or board to fully incorporate all the Standards imposed by The Joint Committee's model regarding time, personnel, and financial obligations required.

Clearly, issues such as the aforementioned must be addressed before a governing board of a higher education institution embarks on such an assessment, despite the glowing appraisal of the Joint Committee's Standards. Additionally, problems inherent in presidential appraisal methods currently in use must be studied so that proposed assessment practices are more effective and provide more useful information on the president's and the institution's performance.

Problems with Current Evaluation Methods

Scholars on the presidency agree that presidential assessment by the board is appropriate and potentially helpful in the attempt to improve the performance of both the chief executive officer and the institution as a whole (Fisher, 1996; Fisher and Koch, 1996; Kauffman, 1989; Kerr, 1994; Nason, 1997; Seldin, 1988). However, presidential assessments, regardless of the method employed, can pose problems for both the board members and the chief executive. Of significance is the question of whether evaluation results paint a true picture of how the president is functioning at the institution. Valid results cannot be expected when assessment standards and criteria are neither carefully spelled out nor related to the president's job description or tasks.

Fisher (1996) and Fisher and Koch (1996) are particularly critical of some

evaluation methods currently in practice, since they feel that although appraisal is of equal importance to the appointment and support of the president, if poorly conducted, presidential reviews can compromise otherwise effective presidencies. It is not a coincidence, according to Fisher and Koch, that an alleged leadership crisis in higher education has come hand-in-hand with the increasing practice of presidential assessment, since they feel that assessment, as usually conducted, publicly questions the credibility of the president. They are particularly critical of formal and public appraisals which give the constituents the impression that an evaluation is taking place and they are asked for their input because the president is suspected of performing in a less than optimal manner. However, the negative impact of the process may be reduced when an evaluation is conducted that is well organized and implemented consistently and fairly (Fisher, 1996).

Also, the time, effort, and expense evaluations require merit consideration. Formal appraisal processes may require months of planning, months for collection of data from interviews, etc., and additional time for a formal reporting process to take place. However, varying types of informal appraisals that usually require less tangible and intangible investment may not reveal the complexity of the president's job or his/her relationship of mission or vision with required tasks. Clearly, well-defined assessment standards and criteria and those that are well aligned with tasks the president is expected to perform must be determined and employed.

Summary

Although numerous scholars of presidential evaluation advocate its potential to inform the chief benefactors of the effort, the board members and the chief

executive him/herself, much is unknown regarding the “best” manner in which to perform such an appraisal. All interested parties, to include the many constituents of the institution, can profit from an appropriately designed and performed evaluation taking place. Not only can the president’s functioning be improved, but the overall functioning of the institution might be strengthened as a result. Determination of appropriate standards and criteria with which to assess the president can lead to a greater understanding of presidential appraisal in general and increased knowledge and confidence that an institution’s efforts merit the investment.

Chapter 3: Methodology

Colleges and universities situated in the Commonwealth of Virginia comprised the target population in this study both because they were accessible to the researcher and represented a diverse population of institutions regarding size, governance, and mission. In the attempt to understand and interpret relationships among the various types of colleges (public, private, small, or large), this population was selected to help expose and reveal significant characteristics among institutions where the president is assessed. A regional study might also have been instructive, however, expanding the scope was not deemed necessary, since the diversity of accessible institutions in Virginia was acceptable.

During the conceptualization stage of this study, preliminary interviews with select professionals in the field of presidential evaluation assisted in identifying major issues to be pursued. These professionals included one university president, two board chairs, and one former president who also is a well-known scholar in the field of presidential evaluation.

This study investigated which Virginia colleges and universities conduct presidential performance appraisals and the criteria used in such evaluations and whether these performance appraisals are based on actual presidential responsibilities, evaluation standards, or job descriptions. However, this study utilized a mixed design, or combined method study, where the researcher uses multiple methods of data collection and analysis. The advantages of such a design are that the researcher can better understand a concept being tested or explored with combined methods. The mixed design also allows one to

see overlapping and different facets of emerging phenomena where the first method might help inform the second method; ultimately the mixed method design adds scope and breadth to the study (Creswell, 1994). Data collection in this study was both quantitative and qualitative in nature. Initially, the goal was to identify among the 26 independent and 15 public four-year Virginia institutions those who presently employ presidential assessment and also how criteria are determined for the assessment review. This was accomplished with quantitative, descriptive methods that began with mailed surveys.

Mailed surveys that included both objective and open-ended questions were sent to the presidents' offices of all four-year regionally accredited institutions in the Commonwealth of Virginia. Surveys included items that defined the aspects of formal and informal evaluation. Institution board chairs were asked to rate aspects of formal and informal appraisal on a scale of one to five, which served to determine whether the appraisal process can be considered formal or informal at their institution. Additional questions concerned the criteria used to conduct the presidential assessment at each particular institution, who decided what criteria would apply, how the president's formal job description and contract related to the evaluation criteria, and the frequency with which the appraisals take place. A better rate of return was encouraged by contacting the presidents' and board chairs' offices by phone and then resending the survey by either fax or mail.

After the determined cut-off date was reached for survey returns, quantitative data were analyzed using SPSS descriptive tests and Mann-Whitney and Kruskal-Wallis Test analyses that test whether population means are the same for all groups when data have not reached the level of interval scaling and/or when the samples are small (Norusis,

1997). Then a brief interpretive phase of the study began where the researcher studied responses to determine whether questions drafted to be asked of presidents of participating schools in the interview phase were comprehensive enough to flesh out the most information as it related to the problem statements. This phase of the study was exploratory in nature and included qualitative measures where concepts or themes were identified and categories of concepts were developed. With this type of information it was also possible to determine in which type of institution (public, private, small, or large) themes are more apparent.

Next, the presidents of those institutions where the board chairs participated (returned surveys) were approached first by electronic mail, then phone, or fax. In this communication, the researcher again briefly explained the purpose of the study and asked for a 20-minute interview focused on the questions attached to the message. Finally, primarily phone interviews were conducted at those 20 institutions where board chairs returned surveys and presidents consented to be interviewed. Again the goal for conducting interviews was to explain and interpret how the variables that were revealed as a result of the survey differ and relate to each other. The more personal interaction encouraged both a deeper discussion of the themes that appeared from the survey analysis and also allowed for other unexpected themes to surface. Due to the sensitive nature of the study, I believed my respondents. Triangulation of data did not take place, but rather I conducted a simple comparison of data the presidents furnished me to see the problem from multiple perspectives. I did not challenge their word. In addition, specific questions regarding the relationship of presidential appraisals to the PES were addressed during presidential interviews.

Interviews were conducted at various stages of each president's evaluation cycle by the board. Some presidents had been reviewed only a month or two before the interview took place, and others were preparing the review, which was upcoming. Since all presidents who took part in the study are reviewed on an annual basis, their review by the board of trustees is not far from their mind for any extended period of time.

After interview conversations were transcribed, thematic analysis was conducted of both survey and interview raw data to determine if groups or categories of variables exist. A dissertation audit was then conducted where the dissertation advisor confirmed the choice of themes and categories. The qualitative aspect followed a template analysis style initially to allow for fullest understanding of variables, so that coding of variables could be accomplished for the analysis.

Human subject permission was understood by the willingness of board chairs and presidents to participate. The survey cover letter to board chairs ensured that subjects had the right to withdraw from the study at any time without fear of retribution and that anonymity and confidentiality were guaranteed. The cover letter also described the procedure for providing the opportunity for interviewees to receive a written summary of the study.

Data collection for the phone surveys was by notes the researcher compiled and analyzed. The mailed survey and accompanying cover letter were of hard copy format and are included in the appendix along with the electronic mail message to presidents requesting an interview and list of questions asked during the phone interviews. Mailed survey open-ended responses were analyzed using template analysis, which utilized techniques where units are identified, categories are revised, connections are interpretively

determined, and results are verified (Crabtree & Miller, 1992).

Quantifiable responses to surveys were statistically analyzed descriptively using SPSS and analyzed to determine difference in population means using two nonparametric tests, Mann-Whitney and Kruskal-Wallis Test analyses. The Mann-Whitney test is the most commonly used alternative to the independent-samples t test and is used when data fail to meet assumptions for the t test. The Mann-Whitney test computes how many times the scores of the experimental group exceed the scores of the control group when placed into rank order. Simply stated, it tests the null hypothesis that population means are the same for two groups. A significant finding means that one population has larger values than the other. The Kruskal-Wallis test is computed exactly like the Mann-Whitney test, except that it allows for more groups to be tested. Again, a significant finding indicates that population values are different (Norusis, 1997).

In the case of phone interviews, notes were compiled and analyzed by the researcher. The mixed design employs descriptive and also exploratory and interpretive methodology where appropriate.

Chapter 4: Analysis of Results

The current study investigated the criteria employed by boards of trustees to evaluate the presidents of the institutions they serve in Virginia. In addition, findings were used to determine how criteria decided upon relate to a body of knowledge regarding presidential responsibilities, presidents' job descriptions, presidents' contracts, and standards advocated in the Personnel Evaluation Standards (PES). Information regarding criteria was gathered by two means: (a) responses of board chairs to a survey and (b) responses of select presidents during interviews.

The investigation was conducted in two phases. Phase I was designed to address which Virginia colleges and universities conduct assessments of their president; whether these assessments are conducted formally or informally; what criteria are used to conduct the evaluations; and whether criteria are related to a body of knowledge regarding presidential responsibilities, the president's job description, and the president's contract. Phase II was designed to address whether criteria are related to standards advocated in the PES and whether there is agreement on the choice of criteria used within and between the groups of board chairs and presidents. Phase II activities also allowed a deeper discussion of emerging themes.

Phase I-Surveys

Survey Return Rate

Within four weeks of the initial mailing of 40 surveys and cover letter, 12 (30 percent) of the surveys had been returned. Presidents' offices of nonrespondent

institutions were called the following week, and, in many cases, additional copies of the survey were either mailed or faxed to either the schools' president's office or private office of the board chair, and an additional 12 surveys (30 percent) were received over the following four weeks. During this initial phone stage, an administrative assistant in the president's office of one of the schools explained that their institution fell under the governance of the president and board of a larger university, and, therefore, the target sample dropped from 40 to 39 institutions. A final cut-off date was established for collection of returns, and the remaining nonrespondents were again called as a reminder.

After twelve weeks, 26 of the surveys were returned for an overall response rate of 67 percent. Twenty-three of the surveys were completed by the board chair; one was completed by the immediate past chair who had recently stepped down (within two months); one was completed by the executive assistant to the president; and one was completed by the secretary to the board of trustees. An additional survey was returned that was unusable in the analysis of quantitative data (since the board chair responding said she was unable to fill out the survey, because the board at her institution was currently designing a presidential evaluation system for their use), but her comments were helpful when looking at qualitative aspects of the study. All of the other 26 responses were used in the quantitative and qualitative analyses.

Demographic Information

Three demographic characteristics were collected by the researcher's prior coding of each survey by institution before mailing. Coding included (a) whether the institution is private or public (Institution Type), (b) the size of the institution's student body (Institution Student Enrollment), and (c) the Carnegie Classification Code of each school

(Institution Carnegie Type). Information for coding was gathered from the 1998 Higher Education Directory for currency. Sample institutions included only non-proprietary Virginia institutions offering at least four-year degrees, holding Carnegie Classification (not including specialized institutions), and accredited by the Southern Association of Colleges and Schools, which is a regional accrediting agency.

Institution Type.

Findings according to institution type are summarized in Table 1.

Table 1
Results by Institution Type

Institution Type	Target Population	Sample	Percentage by Institution Type
Private	25	16	64
Public	14	10	71
Total	39	26	--

Sixteen board representatives of the 25 private institutions qualifying according to the demographic criteria responded to the survey. When looking at representativeness of the sample, 64 percent of Virginia's 25 private institutions were represented. Forty-one percent of all 39 institutions were represented with responses from private schools. Ten board chairs of the 14 public institutions qualifying according to the demographic criteria responded. This number is 71 percent of Virginia's public institutions or 26 percent of all 39 institutions. Together board chairs taking part in the study account for 67 percent of all Virginia institutions meeting the sample criteria. Thirty-three percent of Virginia's institutions meeting the demographic criteria did not take part in the study. This return rate, considering the environment in which board chairs function, was deemed adequate.

In her national AGB study of presidents and governing board chairs, Schwartz (1998) received a response rate of 33 percent from board chairs.

Institution Student Enrollment

Student enrollment was divided into four separate categories according to number of full- and part-time students enrolled at each institution. Categories included (a) less than 1,000, (b) 1,000 to 2,600, (c) 2,601 to 8,000, and (d) over 8,000 students. See Table 2.

Table 2
Results by Institution Student Enrollment

Student Enrollment	Target Population	Sample	Percentage by Institution Enrollment
Less than 1,000	8	7	88
1,000-2,600	13	8	62
2,601-8,000	10	5	50
Over 8,000	8	6	75
Total	39	26	100

In the first category, seven of eight institutions in the target population participated for an 88 percent response rate. In the second category, eight of 13 institutions participated for a 62 percent response rate. Five of ten institutions in the third category responded for a 50 percent response rate, and six of eight institutions in the fourth category responded for a 75 percent response rate. Returns according to this characteristic were also considered adequate and representative of target institutions in Virginia.

Institution Carnegie Type

In the third category, due to the relatively small sample size, institutions were grouped as either Liberal Arts I & II, Comprehensive I & II, Doctorate I & II, and Research I & II. Results showing participants can be found on Table 3.

Table 3
Results by Institution Carnegie Type

Carnegie Type	Target Population	Sample	Percentage by Institution Carnegie Type
Liberal Arts I & II	20	15	75
Comprehensive I & II	13	7	54
Doctorate I & II	3	2	67
Research I & II	3	2	67
Total	39	26	100

In the Liberal Arts I & II category, 15 of the target population's 20 institutions' board chairs responded (75 percent). In the Comprehensive I & II category, seven of the 13 board chairs responded (54 percent). Two board representatives of the three Doctorate I & II institutions responded (67 percent), and two of three board representatives of Research I & II institutions responded (67 percent). Again, returns were considered adequate and representative of Virginia colleges and universities.

Findings for Research Questions

This study was conducted in two phases: (a) Phase I: Survey of board chairs of Virginia's higher education institutions regarding current presidential evaluation practices and criteria employed for such appraisals, and (b) Phase II: Interviews with select

presidents in the sample regarding whether appraisals follow standards advocated in the PES and whether there is agreement on the choice of criteria used within and between the groups of board chairs and presidents. Phase I investigated seven research questions, and Phase II explored seven research questions. Results are presented by addressing the research questions individually in this phase of the study.

Research Questions for Phase I - Survey of Board Chairs Regarding Current
Presidential Evaluation Practices and Criteria Employed

I. 1. Which Virginia colleges and universities conduct assessments of their president?

Results from completed surveys indicate that all of the board representatives (i.e., their institutions) participating in this study conduct presidential appraisals. (See Tables 4 and 5).

Table 4
Date of Most Recent Presidential Evaluation

Date of Last Evaluation	Frequency	Percentage
During 1998	22	84
Prior to 1998	1	4
During 1999	1	4
Don't know	2	8
Total	26	100

Table 5
Next Scheduled Presidential Evaluation

Date of Next Evaluation	Frequency	Percentage
Annual schedule	20	76
This year – not annual	2	8
2-4 year cycle	2	8
More than once/year	1	4
Don't know	1	4
Total	26	100

Board chairs who responded “Don’t know” in answering the survey, indicated by other means that presidential appraisals were taking place at their schools. In addition, of the remaining 13 institutions that did not take part in the study, it cannot be assumed that presidential appraisals are not occurring at these institutions but rather that they chose not to participate. Also, when studying demographics of participating institutions it is apparent that presidential appraisals are occurring with the same consistency on private and public campuses, at schools of all sizes, and regardless of institution Carnegie type.

I.2. Are these assessments conducted formally or informally?

The majority of board chairs participating in the study report that the institution’s board conducts presidential appraisals on regularly scheduled (92 percent) and usually annual (76 percent) bases. (See Tables 4 and 5). Both of these aspects of presidential evaluation are considered formal in nature. In this study, participants were asked to respond on a scale of one to five stating where assessment at their institution could be described using eight different descriptors. Results of responses to these descriptors of formal versus informal evaluation aspects apparent at participants' institutions can be found in Tables 6 through 13. As Table 11 indicates, only 25 responses were received for that descriptor.

Table 6
**Formal vs. Informal Aspects of the Institution's Presidential
 Evaluation: Systematic vs. Casual**

Systematic vs. Casual	Frequency	Percentage
Most systematic	9	34
Systematic	11	42
Medium	2	8
Casual	2	8
Most casual	2	8
Total	26	100

Table 7
**Formal vs. Informal Aspects of the Institution's Presidential
 Evaluation: Announced Purposes and Procedures**

Announced Purposes and Procedures	Frequency	Percentage
Most announced	12	46
Announced	8	31
Medium	1	4
Unannounced	5	19
Most unannounced	0	0
Total	26	100

Table 8
**Formal vs. Informal Aspects of the Institution's Presidential
 Evaluation: Ratings by Individuals**

Ratings by Individuals	Frequency	Percentage
Ratings by most individuals	4	15
Ratings by many	4	15
Medium	3	12
Ratings by few	3	12
Ratings by board or chair	12	46
Total	26	100

Table 9
**Formal vs. Informal Aspects of the Institution's Presidential
 Evaluation: Public Discussion of Findings**

Public Discussion of Findings	Frequency	Percentage
Most public discussion	1	4
Public discussion	3	12
Medium	4	15
Little discussion	4	15
No discussion	14	54
Total	26	100

Table 10
**Formal vs. Informal Aspects of the Institution's Presidential
 Evaluation: Timeframes for Completion**

Timeframes for Completion	Frequency	Percentage
Most established	15	58
Established	5	19
Medium	3	11
Indefinite	2	8
Most indefinite	1	4
Total	26	100

Table 11
**Formal vs. Informal Aspects of the Institution's Presidential
 Evaluation: Written Reports of Results**

Written Reports of Results	Frequency	Percentage
Most written reports	11	44
Written reports	3	12
Medium	0	0
Few written reports	1	4
No written reports	10	40
Total	25	100

Table 12
**Formal vs. Informal Aspects of the Institution's Presidential
 Evaluation: Oral Reports of Results**

Oral Reports of Results	Frequency	Percentage
Most oral reports	15	58
Oral reports	5	19
Medium	2	8
Few oral reports	1	4
No oral reports	3	11
Total	26	100

Table 13
**Formal vs. Informal Aspects of the Institution's Presidential
 Evaluation: Conducted on Set Cycle**

Conducted on Set Cycle	Frequency	Percentage
Most set cycle	16	61
Set cycle	6	23
Medium	2	8
Few set cycle	2	8
No set cycle	0	0
Total	26	100

On the survey, in all cases but one, the choice of number one on the scale described a formal appraisal, whereas a number five described an informal appraisal. The scale for Oral Reports of Results (Table 12) on the survey was the mirror image of the other seven descriptors, i.e., more frequent use of oral reports more clearly describes an informal environment.

Results indicate that while most board representatives describe their institutions' appraisals as "casual" in comments sections, that many aspects of presidential appraisals in Virginia institutions can be categorized as "formal" when looking at individual descriptors. Appraisals in the sample's institutions, as reported by board chairs, are

clearly systematic versus casual, most clearly have announced purposes and procedures, follow established timeframes, more often than not utilize written reports, and definitely follow set cycles. However, the appraisals also are characteristic of "informal" evaluations in that ratings are most likely conducted by few individuals (the board chair or board), discussion of findings is private, and a strong preference for oral reports of results (usually to just the president or board) is evident.

I.3. What criteria are used to conduct the evaluations?

Data from survey items regarding criteria were analyzed for frequencies and then a value by weight was computed to determine which is the most important criterion and if there is a real distance among the criteria. Table 14 shows the frequency with which boards rated Academic Leadership and Management as to its importance in the review of performance on a scale from one to six. Twenty-five usable responses were available.

Table 14
Presidential Responsibilities as Evaluation Criteria: Academic Leadership and Management

Academic Leadership and Management	Frequency	Percentage
Most important	6	24
Second	4	16
Third	4	16
Fourth	3	12
Fifth	5	20
Sixth	3	12
Value by Weight – 15.6		

A value by weight (where all first choice selections were multiplied by 6, all second choice selections were multiplied by 5, etc. and then the total value was divided by the number of categories) was computed as 15.6. Tables 15 through 19 show the frequency

with which boards rated the remaining criteria: Administrative Leadership and Management, Budget and Finance, Fund Raising, External Relations, and Personal Characteristics with computed values by weight respectively of 25.0, 13.5, 15.2, 13.2, and 12.0.

Table 15
Presidential Responsibilities as Evaluation Criteria: Administrative Leadership and Management

Administrative Leadership and Management	Frequency	Percentage
Most important	13	52
Second	6	24
Third	2	8
Fourth	1	4
Fifth	3	12
Sixth	0	0
Value by Weight – 25		

Table 16
Presidential Responsibilities as Evaluation Criteria: Budget and Finance

Budget and Finance	Frequency	Percentage
Most important	1	4
Second	6	24
Third	4	16
Fourth	7	28
Fifth	1	4
Sixth	6	24
Value by Weight – 13.5		

Table 17
Presidential Responsibilities as Evaluation Criteria: Fund Raising

Fund Raising	Frequency	Percentage
Most important	1	4
Second	6	24
Third	8	32
Fourth	5	20
Fifth	3	12
Sixth	2	8
Value by Weight – 15.2		

Table 18
Presidential Responsibilities as Evaluation Criteria: External Relations

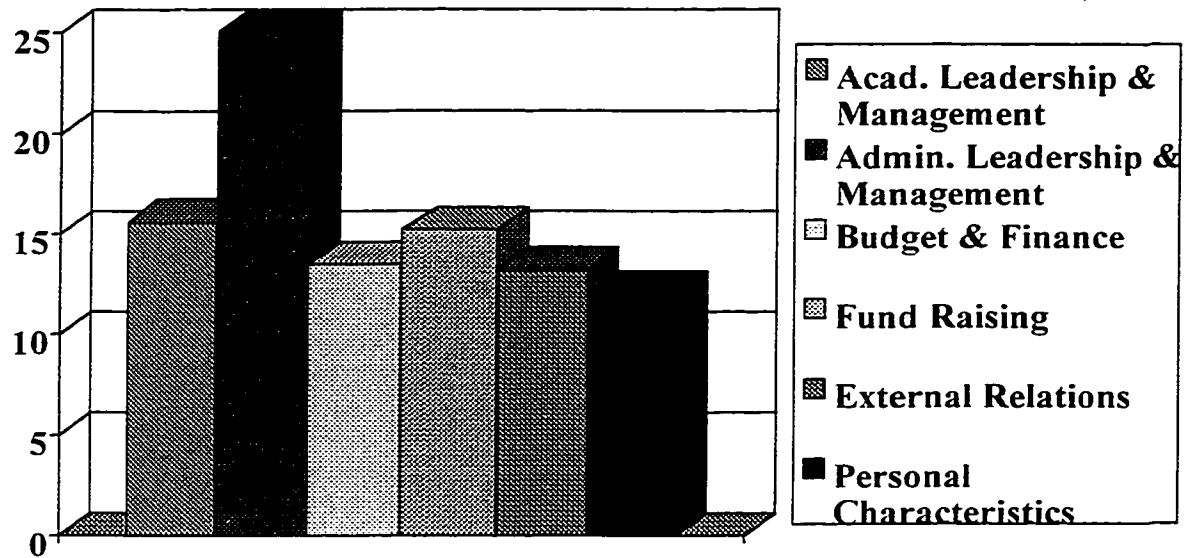
External Relations	Frequency	Percentage
Most important	0	0
Second	2	8
Third	5	20
Fourth	5	20
Fifth	8	32
Sixth	5	20
Value by Weight – 13.2		

Table 19
Presidential Responsibilities as Evaluation Criteria: Personal Characteristics

Personal Characteristics	Frequency	Percentage
Most important	4	16
Second	2	8
Third	2	8
Fourth	4	16
Fifth	5	20
Sixth	8	32
Value by Weight – 12.0		

Figure 1 depicts the values by weight of the six criteria. Administrative Leadership and Management stands out as the most important criterion overall according to board chairs.

Figure 2
Evaluation Criteria Importance by all Institutions



Additional statistical tests were run to investigate significant associations between the three demographic categories and each of the six criteria. The Mann-Whitney test and the Kruskal-Wallis test were run to determine if each criterion is more important in private or public institutions, in institutions of four categories of enrollment, and in institutions of four different Carnegie Type categories, according to board chairs' responses. Since a rank of 1 is assigned as the "most important," criteria that emerge as more important display lower values (lower mean rank). See Tables 20, 21, and 22.

Table 20
Performance Review Criteria: Institution Type

Criteria	Private Mean Rank	Public Mean Rank	Level of Sig.
Acad. Ldrshp. & Mgmt.	15.66	8.28	*.014
Admin Ldrshp. & Mgmt.	10.81	16.89	*.031
Budget & Finance	13.59	11.94	.581
Fund Raising	11.75	15.22	.244
External Relations	13.50	12.11	.641
Personal Characteristics	11.97	14.83	.338

Table 21
Performance Review Criteria: Student Enrollment

Criteria	<1000 Mean Rank	1000-2600 Mean Rank	2601-8000 Mean Rank	>8000 Mean Rank	Level of Sig.
Acad. Ldrshp. & Mgmt.	15.64	16.06	11.13	7.08	.084
Admin. Ldrshp. & Mgmt.	8.36	11.56	15.00	19.00	*.033
Budget & Finance	16.21	12.88	4.88	14.83	.074
Fund Raising	10.36	13.88	9.63	17.17	.261
External Relations	13.43	12.38	14.88	12.08	.928
Personal Characteristics	11.36	12.13	19.88	11.50	.220

Table 22
Performance Review Criteria: Carnegie Type

Criteria	Liberal Arts Mean Rank	Compre- hensive Mean Rank	Doctoral Mean Rank	Research Mean Rank	Level of Sig.
Acad. Ldrshp. & Mgmt.	15.29	13.86	3.50	3.50	*.039
Admin. Ldrshp. & Mgmt.	10.29	13.21	20.25	24.00	*.020
Budget & Finance	14.79	10.21	9.75	13.50	.503
Fund Raising	11.54	15.29	16.75	11.50	.585
External Relations	13.07	16.50	7.50	5.75	.178
Personal Characteristics	12.21	11.29	21.50	16.00	.293

Results indicate that Academic Leadership and Management is more important in public vs. private institutions (Significance = .014 with alpha set as .05) and in doctoral and research Carnegie Type institutions (Significance = .039 with alpha set as .05).

Administrative Leadership and Management is more important in private vs. public institutions (Significance = .031 with alpha set as .05), in institutions with student enrollment less than 1000 (Significance = .033 with alpha set as .05), and in liberal arts Carnegie Type institutions (Significance = .020). Therefore, Institution Type, Institution Student Enrollment, and Institution Carnegie Type do make a difference in the significant associations that are present among the demographics and the criteria. Academic Leadership and Management and Administrative Leadership and Management.

An additional item on the survey to board chairs asked them to designate who decided which criteria would apply. The majority of board chairs (69 percent) indicated

that evaluation criteria were decided upon by the board in consultation with the president. See Table 23.

Table 23
Criteria Selection Decision

Who Decided	Frequency	Percentage
Board exclusively	3	12
Board and president	18	69
President exclusively	1	4
Other	4	15
Total	26	100

I. 4. Are criteria related to a body of knowledge regarding presidential responsibilities?

Table 23 indicates that in the majority of cases (81 percent), either the board exclusively or the board in consultation with the president decide upon the review criteria. Scholars of presidential assessment state that criteria should be mutually decided upon by the president and the board (Nason, 1997). In write-in to "Other," participants revealed that the second most likely case is that a special committee or governing board decides upon the performance criteria.

I.6. Are criteria related to job descriptions of the president, where available?

Almost a quarter of institutions' board chairs reported that no job description was available for the president. See Table 24.

Table 24
Formal Job Description as Evaluation Criterion

Extent Utilized	Frequency	Percentage
High degree	5	19
Some degree	14	54
Not at all	1	4
No job description available	6	23
Total	26	100

However, the majority of board chairs stated that different aspects of the formal presidential job description were utilized to determine evaluation criteria to either some degree (54 percent) or to a high degree (19 percent).

I.7. Does the president's contract reflect the criteria?

Table 25 depicts the extent board chairs report that the president's contract includes a description of duties and responsibilities.

Table 25
President's Responsibilities as per President's Contract

Extent Contract Includes	Frequency	Percentage
High degree	5	19
Some degree	12	46
Not at all	4	16
No contract available	5	19
Total	26	100

Five institutions' chairs stated that a contract was not in place for the president. About two-thirds reported that the contract includes duties and responsibilities for the president, either to some degree (46 percent) or to a high degree (19 percent).

Phase II – Interviews

Response Rate

All 26 presidents of participating institutions were contacted requesting an interview. Three responses were received from presidents' offices saying the president was too busy to allow interview time. Four presidents or staff members of their offices failed to respond after repeated attempts to contact them.

Twenty interviews were conducted. In one of the twenty cases, the president's executive assistant was interviewed in place of the president who agreed that a representative from the president's office would participate in the interviews but stated that his schedule would not accommodate the time an interview required. In the following discussions, all interviewees will be referred to as "presidents." A copy of the President Interview Guide can be found in Appendix 2.

Demographics

Institution Type

Interviewees were represented as follows: overall, 20 presidents participated (77 percent of the target population of 26 institutions who completed surveys); 81 percent of the target population of private schools participated (see Table 26); and 70 percent of the target public schools participated.

Table 26
Interview Results by Institution Type

Institution Type	Target Population	Sample	Percentage by Institution Type
Private	16	13	81
Public	10	7	70
Total	26	20	77

Institution Student Enrollment

Student enrollment was divided into four separate categories according to number of full-time and part-time students enrolled at each institution. Categories included (a) less than 1,000, (b) 1,000 to 2,600, (c) 2,601 to 8,000 and (d) over 8,000. See Table 27.

Table 27
Interview Results by Institution Student Enrollment

Student Enrollment	Target Population	Sample	Percentage by Institution Enrollment
Less than 1,000	7	6	86
1,000-2,600	8	7	88
2,601-8,000	5	2	40
Over 8,000	6	5	83
Total	26	20	77

In the first category, six of seven presidents in the target population participated for an 86 percent response rate. In the second category, seven of eight presidents participated for an 88 percent response rate. Two of five presidents in the third category responded for a 40 percent response rate, and five of six presidents in the fourth category responded for an 83 percent response rate. Returns according to this characteristic were considered adequate and representative of the target institutions taking part in the study.

Institution Carnegie Type

Table 28 depicts response rates for presidents from institutions grouped according to Carnegie Type.

Table 28
Interview Results by Institution Carnegie Type

Carnegie Type	Target Population	Sample	Percentage by Institution Carnegie Type
Liberal Arts I & II	15	13	80
Comprehensive I & II	7	4	57
Doctorate I & II	2	2	100
Research I & II	2	1	50
Total	26	20	73

In the Liberal Arts I & II category, 13 of the target population's 15 institutions' presidents responded (87 percent). In the Comprehensive I & II category, four of the seven presidents responded (57 percent). Both presidents of the two Doctorate I & II institutions responded (100 percent), and one of two presidents of Research I & II institutions responded (50 percent). Again, returns were considered adequate and representative of the study's population.

Research Questions for Phase II – Interviews with Presidents

II.1. Which Virginia colleges and universities conduct assessments of their president?

All 20 of the presidents interviewed stated that presidential appraisals take place regularly at the institution in which they serve. This number represents 51 percent of the target population of 39 Virginia institutions, but again it cannot be assumed that those presidents who did not take part in the study are not regularly appraised by their governing boards.

II.2. Are these assessments conducted informally or formally?

According to literature on presidential appraisals, formal assessment is defined by the following characteristics: systematic, announced purposes and procedures, ratings by many individuals, public discussion of findings, established timeframes for completion, written as opposed to oral report of results, and conducted on a set cycle. In none of the institutions did presidents report that all of these conditions were characteristic of appraisals at their institution. Rather, the situation at most schools is that some formal and some informal conditions exist. However, descriptions of annual appraisals at the majority of institutions could best be described as mostly informal. Sixteen presidents described their most recent (and usually annual) appraisal as informally conducted, involving often only the board chair and board and/or very little involvement by the president. For this group, appraisals could best be described as taking place “behind closed doors” by either the board chair only or chair and executive committee. Usually the evaluation criteria are unknown to the president. Ten presidents reported that they prepare some type of self-evaluation, usually in the form of a status report in response to agreed upon goals between the board/board chair and the president. The practice of employing presidential self-evaluations occurred with the same frequency at both private and public institutions. Generally, the appraisal effort rests on the shoulders of the board chair or an executive board committee that conducts the appraisal.

Six presidents (four from private and two from public institutions) stated that a more formal and comprehensive presidential evaluation either occurs at their institution on a regular basis, usually every three to five years, or shortly after they accept the

position (often one to three years). For this more formal event, the presidents expected to be somewhat more involved, especially regarding self-evaluation.

Presidents often considered a formal appraisal as one where the process is conducted by an outside consultant and where various constituencies are asked for their input. Therefore, all presidents failed to categorize their annual appraisal process as formal. However, in four institutions (three public comprehensive institutions and one private liberal arts college), annual presidential appraisal is most clearly a formal process. The aspects at these institutions that make the process more formal than informal involve the instruments that are used to rate the president's performance and the fact that various members outside the board are asked to provide input.

At one of these public institutions, the president said, "Annually a survey is addressed from the rector to 20-30 people on campus asking them to respond to 11 measures on the form." Another president at a public institution describes the three assessment instruments used in the annual appraisal: "The first is a feedback form I designed for my executive management team, because I believe this team should evaluate the president along with the board. The second is a separate evaluation the board designed with a 1-5 scale, and the third is a self-evaluation prepared by me according to board/president agreed upon goals." At the private institution where more formal assessment occurs, the president is evaluated jointly by "representatives from the board of religious education, the institutional board, and a faculty member using an instrument sent to selected people of the board and in the institution."

Schools where informal appraisals are predominant are logically broken into two categories; in both, the process is systematic and appraisals are conducted on a set cycle,

which are more formal aspects. In both categories, also, informal aspects are present and predominant; purposes and procedures are not announced, few members are involved in the rating, and discussion of findings is private. The aspect that allows one to distinguish one informal category from the other is the level of involvement of the presidents in deciding upon the criteria for their appraisals.

In seven private institutions, appraisals were informal, and presidents do not suggest to their board members how they should assess their performance. One president of a private liberal arts college said, "The emphasis at this school is on civility and whether they like someone, not formal appraisals." At another liberal arts college, the president said, "They (the executive committee of the board) conducted the evaluation in private and told me afterward of their summation. They did not involve me, and I did not prepare a self-evaluation." Another president from a liberal arts college stated, "I don't know how the board organized it; it was behind closed doors, even though I did prepare a self-assessment." One president of a liberal arts college simply said, "The process is not Association of Governing Boards of Universities and Colleges (AGB) certified."

In the second category of informal appraisals, nine presidents do contribute to their assessment criteria. Oftentimes, the criteria are closely tied to goals the president and board decide upon together and involve a follow-up report explaining how well the president accomplished those agreed upon goals. This group is comprised of five private liberal arts colleges, one public comprehensive, two public doctoral, and one public research institutions. One president of a private liberal arts college said, "After the first year I was hired, I prepared a report addressing goals outlined when I was hired. In subsequent years I still do the report according to prepared goals, because it is good

practice.” Another president of a private liberal arts college said, “Evaluation is subjective but is also based on objective annual goals.” Another president of a private liberal arts college stated, “In past years, the president left the room during the board meeting, his performance was discussed, salary was set, and the president was called back into the room. This year I asked the board to review a list of criteria. The board agreed to look at my list.” In a public doctoral institution, the president explained, “The board shared with me the list of evaluation criteria, and I commented on it and gave it back. There was no major difference of opinion.”

II.3. What criteria are used to conduct the evaluations?

Six presidents from private liberal arts colleges indicated that, although they did not contribute to the list of evaluation criteria, they were well aware of what those criteria are. One president said, “The three things that are most important at a liberal arts college are enrollment, how money is coming in, and the mood across campus.” Another said, “At privates, the most important factors are efficient management of the institution, relating to constituencies, developing a vision for the future, and raising money.” At another institution, the president posed these questions: “Does the person have a good sense of institutional vision, mission, and how strategic goals will be achieved? Does the president have a good sense of choosing staff well? Can he/she raise funds? Can this person be a spokesperson for the institution in all areas? Is the institution doing well according to benchmarks (enrollment, fundraising, programs offered in the marketplace)?” She further stated that “There can be no gaps in the person’s ability. The person has to be strong at everything and knowledgeable and able to delegate to individuals that are chosen well.”

Another president listed the following: staying within budget, evidence that continuing improvement in the teaching/learning processes are occurring, overall status of campus morale, the flow of information/communication, and sharing ideas and visions for the future. At a church-related institution, the president listed fund raising, church-relatedness, management of the college (personnel and budget), physical maintenance of the campus, and being a spokesperson for the school. One president of a public doctorate institution stated very succinctly, "The ability to lead the institution effectively using consensus toward the attainment of goals is most important factor in assessing a president's performance."

Many presidents referred to general health indicators of the institution. These indicators are the types of things on which they are appraised and include enrollment; fund raising; quality indicators of faculty, students and graduates; and whether long-range planning and progress is being made. Presidents at both private and public schools emphasized that relationships, both on and off campus, are very important for presidential success. Generally, the criteria for presidential appraisal centers around creation of a vision, being an advocate and role model for the institution, and fostering good communication in an atmosphere of integrity. A president must also possess good administrative skills where the president knows how to hire a strong management team, financial management and fund raising skills, and the ability to realize long-term strategic goals.

II. 4. Are criteria related to a body of knowledge regarding presidential responsibilities?

Birnbaum (1992) states that how the effectiveness of college and university leadership can be depicted and evaluated and by what criteria is one of the most vexing questions among leadership scholars. For many organizations there is neither an agreed-upon definition of leadership nor a viable measure of it. Because of multiple forces beyond their control that are moving to hasten or hinder the result, there is rarely a demonstrable link between a leader's decision and consequent events. Such difficulties between the relationship of leadership and performance make judging the success of a leader difficult.

Scholars are not united in the factors they believe are most related to presidential leadership. Kauffman (1989) says that establishing criteria for assessing presidential performance is a must. He does not agree with Cohen and March (1974) who profess that the job is too ambiguous to appraise. Kauffman, instead, lists over a dozen areas on which to base assessment criteria: leadership, vision, quality, stewardship, staff relationships, relations with the board, political aspects, budgeting, use of consultants, time management, being oneself, and knowing when to leave.

Arthur Levine (1984) stated that a college president should: (1) define the institution's mission and provide direction in achieving it, (2) inspire the college community and its publics, and (3) hire the best possible staff, then work with them and motivate them. Effective presidents must be committed to the idea of excellence and high standards; they must be tactful, diplomatic and patient. Their personal qualities must include the gifts of persuasion, political adroitness, integrity, character, objectivity,

adaptability, humor, and “amplitude of spirit.” The most important trait may be the ability to define and articulate a sufficiently clear institutional mission that generates new understanding and provides a breadth of vision and perspective to all members of the organization (Beaudoin, 1986).

Presidential scholars agree when appraising the president’s performance that governing board members should address present leadership, long-range planning, budgeting and finance, condition and adequacy of facilities, curriculum development, meeting educational and training needs of the community, honest public relations, and selection and retention of qualified personnel. The critical quality is vision and the ability to create vision within a campus (Costello, 1993; Johnson, 1993; Roueche, 1988). I would add that the president’s ability to realize how the vision can be achieved is also paramount.

Obvious agreement exists among presidents and scholars of the presidency that criteria employed are related to what presidents should be able to do well. The words of presidents from both private and public institutions taking part in this study echo scholars’ words. One president of a public comprehensive institution listed the criteria used, in large part, to assess her performance as, “Communication, management style/relationships with people, and ability to formulate vision and buy-in for that vision. You have to have a dream grounded in reality.” Another president of a private liberal arts institution presented a list of duties for which he should be held accountable that is identical to that of the scholars and says, “The president’s responsibility is to keep all in balance.”

II. 5. Are criteria related to standards and methodology advocated in the Personnel Evaluation Standards (PES)?

The PES indicates that personnel evaluations in educational institutions should have four basic attributes: *propriety* (evaluations are ethical and legal), *utility* (evaluations are timely, informative and useful in decision making), *feasibility* (constraints are reasonable and practical), and *accuracy* (information provided is correct and exact). Regardless of the type and size of institution, and regardless of whether appraisals were more formal or informal at their particular institution, presidents emphatically reported that the presidential appraisal process at their institution is proper.

A president of a private liberal arts institution said his board chair researched various presidential evaluation processes conducted at different schools and decided there is no best way to assess. He said the process at his institution is “as fair as can be.” A president of a public doctorate institution agreed that the appraisal was conducted “in a thoughtful way.” From another private liberal arts college came the comment, “(The review) is confidential, too. They should say more publicly perhaps, since the appraisal decision is affirming for the president.” A president of a public comprehensive institution said, “The board takes it very seriously. Review meetings always have 100 percent board attendance. The review is done in a consistent manner with the by-laws and focuses on key issues supporting the strategic plan, and is in compliance with the university by-laws.”

Only two presidents, both from private liberal arts colleges, responded to the issue cautiously. One said, “Yes, it is proper, but it is a sticky wicket. The board can miss on how they evaluate the president, so the president is undermined. Use of an outside

consultant might periodically be employed to avoid past pitfalls.” Another president also agrees that the process at her school is proper but went on to say, “Every board also does not understand that visible annual review sets up a red flag. The board must understand how publicizing an appraisal and asking the academic community for input might be interpreted by the community.”

Presidents from all types and sizes of institutions also agree that reviews are timely. The amount of time invested in annual reviews appears to be about right. Most of them also agree that they are informative and useful. A president of a liberal arts institution said, “I can’t answer for the board, but I learn each year (from the review).” A president of a public doctorate institution agreed the process is useful because, “the relationship between the board and president is supportive.” However, regardless of whether performance reviews are conducted formally or informally or whether the institutions are private or public, seven presidents reported that the review is marginally informative. One president said, “The review is not terribly informative. They’re not telling me anything I don’t know. (The process) is helpful to the president politically as it legitimizes my work as president. Helpful but not informative.” Another said, “No feedback is given to anyone but board members.” Another explained, “Two-thirds of the board are not informed.”

The majority of presidents, regardless of type and size of institution, and regardless of whether appraisals were more formal or informal at their school, also agree that annual performance appraisals at their institution are feasible, reasonable, and practical. The president of a private liberal arts college said, “Yes, (the appraisal process) required little investment since it is done as work and meetings are being done.” Another

president of a private liberal arts college said, “It is like breathing. The appraisal is integrated into the mainstream of the process.” A president of a public research institution said, “We have it down to a science.”

However, a few presidents fear that a more comprehensive appraisal conducted every few years and involving various constituents might not be as efficient regarding practical requirements. A president of a public comprehensive institution said, “It is a reasonable effort. The five-year campus-wide presidential evaluation will be bigger and more questionable.” Another added, “If the outside review conducted every three to five years were the annual effort, this would not be good use of a president’s time.”

Two presidents voiced concern about the value of the effort. A president of a public doctoral institution described the process at his institution as efficient, then added, “It says a lot about the board if they have to hire a consultant to tell them how the president is doing.” The president of another public doctoral institution said, “(The appraisal effort) does not take much. If you put little in, you get little out.”

The last basic attribute of the PES is accuracy. When asked if the appraisal effort provides correct and exact information, presidents agree that it does. A president of a public doctoral institution said the process is “serious and competent and fair.” A president of a private liberal arts institution said, “It helps to legitimize the presidency, since it is a formal (systematic) process. There is a general knowledge that the appraisal is occurring on campus, and there is a trust of the board and the process. Anyone can write to the board with issues or criticism, and they consider and weigh that in the overall appraisal.”

A president of a public research institution emphatically agreed that the process is legitimate and added, “(Our institution) had major fiscal issues, which evaluation brings into focus. The central issue is that the board is comfortable with communication and relations between them and the president, so they don’t enter into the annual appraisal with reservations.” At a private liberal arts college the president said, “If something were wrong, people would say so. Even smaller problems are major crises at private colleges, as opposed to large, state institutions where problems can be offset in other areas.”

A few presidents hold different views on the legitimacy of the process at their institution. A president of a private liberal arts college said, “Any time a president and college are being assessed one must be careful to draw a distinction between the person and the college. For a board to judge, one must see if the college is where it wants to be, given enough time. In higher education, it is easy to overestimate what one can do in a year, but we also usually underestimate what can be accomplished in ten years.” A president of a public doctoral institution said the process at his institution is not executive enough. He added, “The board’s role is more closely tied to selection and reappointment of the president. They don’t see themselves as being involved in formative evaluation of the president.” At a private liberal arts institution the president said the process is not legitimate or accurate if other people on campus are not asked for their input.

Overall, it is apparent that all four attributes the PES advocates are characteristic of presidential appraisals in Virginia. Despite some reservations on the part of some presidents, characteristic appraisal processes can be summarized as proper, useful, feasible, and accurate.

II.6. Are criteria related to job descriptions of the president, where available?

All of these aspects relate loosely and generally to a president's job description, which mostly holds archival value, since presidents report it is rarely looked at after hiring. One president said he used the job description to frame his self-evaluation only. The president of a private liberal arts college agreed that evaluation criteria do relate generally to the job description, which is being used to frame the search for a successor. He states the job description is used as a "profile for the president."

II. 7. Does the president's contract reflect the criteria?

Also, appraisal criteria relate only generally to a president's contract, when present. The president of one public doctoral institution said that at his institution, a contract exists, but that it merely states the length of the president's tenure, money issues, etc. The contract, he explained, "is not explicit according to performance measures." The president of one public research institution said he has no contract: "There is a gentleman's agreement only."

II. 8. Is there agreement on the choice of criteria used within and between the constituent groups, ie. the board chairs and presidents?

Comments from presidents from all types and sizes of institutions, and regardless of whether appraisals are considered formally or informally conducted at each institution, indicate there is basic agreement between presidents and board chairs on criteria employed for the appraisals. Most presidents offered only few suggestions to improve the appraisal process at their institution. As one president of a private liberal arts

institution said, “All criteria listed were important: mission, vision, balance of external and internal board relationships and all others.”

Suggestions for improvement to the appraisal process included issues that presidents saw might either (1) better focus the process (specifically, the criterion-based process) or (2) better utilize the unique collective nature of board membership.

Regarding focus, a president from a public comprehensive institution suggested that an attribute which he finds important is that of private fund raising. He said that if he were to review the appraisal instrument, he would add the statement, “Effective in obtaining resources, both public and private for the university.” He also stated that the process does not contain a formal provision for self-appraisal, and he thinks it should be there. Two private liberal arts college presidents indicated they would find it useful to schedule periodic (every three to five years) reviews by consultants who would solicit more input from constituencies.

A president of a private liberal arts college agreed that she and the board generally agree but added, “I would rather the board be focusing on strategic goals, which are far more important than results. Results generally will then follow if goals are clear. A strong administration operates best when it constantly assesses.” Another president of a private liberal arts college said she felt the purposes for evaluation are not always clear. She explained, “At (our institution) evaluations are considered good hygiene at the very least. When board members interview those on campus, questions should be about goals and not left open-ended.” A president of a public comprehensive institution said, “Fewer strategic goals will streamline the presidential evaluation process. A recent change has been to identify fewer strategic goals, which must be operational and measurable.”

Another review process at a public comprehensive institution does not contain a formal provision for self-appraisal, and the president thinks it should be there.

Other presidents felt the appraisal process might be improved by improving board membership and their assessment abilities. A president of a public comprehensive institution said she would like to see more emphasis on quantitative measures, whereas some of her board members emphasize qualitative aspects that are hard to measure. She also added, “The president has a strong responsibility to train her board. I took the board chair to an AGB meeting this year.” A president of a private liberal arts institution said his school was hiring an evaluation consultant to conduct workshops to educate both the president and board during the board’s next retreat.

A president of a public doctoral institution stated, “If board members were more experienced, a detailed explication of their assessment would be valuable. But board members have little life experience in the management and leadership required in complicated organizations.” Another president of a public doctoral institution sees the value of the appraisal closely aligned with the strength of the board chair. He explained, “These go together: a strong chair and a good evaluation. A weak chair produces a weak evaluation. The chair must understand the role of the chair to be able to evaluate the president.” A president of a public research institution said the appraisal process must take into account the persons involved and must say, “Let’s look at the players, after determining the necessary elements.”

Most presidents mentioned that although their appraisal process works, that it can always be improved upon. Clearly, they agreed that more exacting focus on criteria and utilization of board membership were the best avenues to bring about improvement.

Interviews – Qualitative by Theme

Interpretation of themes began with subjects' words that were put into my language. However, in most cases, subjects employed terminology I used when sending the message requesting an interview focused around a list of questions. In one case in particular, I used a president's term, "likability," to explain a theme, since it most clearly represented the idea she intended. In addition, themes are listed in order of strength of emphasis, meaning I prioritized the idea according to the frequency in which the idea was mentioned and also the fervor or passion I sensed in the president's voice. Notations were made on the transcripts when the president became excited about what he/she was saying. This section and the remaining sections of this chapter are organized according to two sets of themes: one for interviews only, and a second set, which is a comparison of interviews to surveys.

Theme 1

It is apparent from interview comments from presidents that the presidential appraisal process may be viewed generally as systematic across all schools in the study. What is also apparent is that many presidents believe even more emphasis should be placed on being systematic. At a private liberal arts institution, the president stated, "There is a tendency for evaluations to become more structured and formal." At another private liberal arts college, the president said that presidential and board evaluation is the theme of their May retreat this year. The president of a public doctoral institution stated that no formal appraisal occurred during the past few years, but the impetus toward review that is more formal and legitimate is evident, especially since the school has a new board chair.

In the quest for the systematic, an effort to better define appraisal criteria is prevalent. A president of a private liberal arts college said, "If done right, the appraisal process would have a clearer set of criteria." Another president of a private liberal arts college stated that change he would institute in the appraisal process is for more emphasis on objective criteria. He also advocated bringing in a consultant every four to five years to work with the board.

Even at institutions where presidential reviews are already largely formal, even more emphasis is placed on improving systematic procedures. At a public comprehensive institution, the president stated, "A new change has been to identify fewer strategic goals, which must be operational and measurable (10-15 maximum goals)." At another public comprehensive institution, the president advocates more emphasis on the quantitative aspects of appraisal that enable one to better objectify the evaluation process. At still another public comprehensive institution the president said, "There is no formal provision for self-appraisal, and I think it should be there." The president of a private liberal arts college said he wonders about introducing a focus group to conduct the appraisal as a review committee.

Theme 2

The president of a private liberal arts college said, "There is no formal appraisal, but (the board chair) and I are designing one. We are moving toward more formal evaluation." This comment leads to a slight variation of the previous theme, whereby the president is increasingly the agent driving change toward a more systematic appraisal process. About a third of the presidents participating in the study maintained that they were driving the change. Recently, a president of a private liberal arts institution asked

his board to review the list of evaluation criteria that he compiled. He said the appraisal process made good use of time and resources because he (the president) gave them a list. He said, “This was done at my insistence. Also, the past president had not developed a strong management team, so I put together a senior management team who could manage the institution in the absence of the president.”

When describing the current appraisal process at a private liberal arts college, the president said, “At my request, the president meets with the board committee before they confer on the evaluation. Although the procedure has been refined, it has been done the same way ever since I set up this process.” At another private liberal arts college, the president admits that the appraisal process is only about half as informative as it could be. He said, “I suggest that more criteria be looked at, so it could be even more helpful for self-improvement.”

Theme 3

Another issue concerns board members’ background, life experience, and longevity on the board. Most of the presidents in the study feel that what the board brings with them has a large bearing on their ability to effectively review presidential performance. Presidents of private institutions in particular appear to be especially proud of their board composition and talents. However, not all boards are balanced with comparable talent and experience.

The president of a private liberal arts institution stated that in the past, the board was very mature, but added, “Recently I’ve had the need to educate board members who are businessmen and don’t understand the higher education environment.” Another president of a private liberal arts college said his chair does not give him a great deal of

feedback. He said, “The former chair gave more guidance and told me more where I could improve.” Another stated, “I have the best board one could have, but they could use some training and learning on evaluation.” Another explained, “Boards (public and corporate) are more involved today than ever. Boards are not micromanaging but are pushing for meaningful accountability and interpretations of data.” Still another private college president said, “The board wants to do evaluation well. We have a small board (13 members), which functions very well with its small size, but one doesn’t fund raise as well with a small board.”

At one private liberal arts institution, the president had just experienced an evaluation conducted by an outside consulting team. She said, “The team regarded that part of their duty was to make sure the board understands how complex the president’s job is.” She continued, “Board members with business back grounds have difficulty understanding that it is hard to measure some things. When bringing in a new president, the board is anxious about doing the evaluation.” Another president of a similar institution said, “What the board members frequently don’t understand is the complexity of day-to-day dealings with faculty.” She feels obligated to talk to her board about how higher education institutions are different from businesses.

At public institutions, presidents were also outspoken on this issue. The president of a public doctoral institution discussed the board composition in relation to the politics in the state at the time. He said, “For both Republicans and Democrats, board members have been put on the board for the wrong reasons, largely political reward. Some have never been on a board, and their understanding of presidential evaluation is lacking because of their own agendas.” Another president of a public doctoral institution

strongly suggested that this study should address the issue of longevity of board members, because he stated that the major reason the appraisal process was only marginally informative was because two-thirds of the board are not informed. He continued to say, “If board members were more experienced, a detailed explication of their assessment of the president would be valuable. Board members have little life experience in the management and leadership required in complicated organizations.” Still another president of a public comprehensive institution said that boards of Virginia public institutions are not well seasoned, generally. Therefore, she said, “The president has a strong responsibility to train her board. Most board members haven’t a clue what they should do.”

Theme 4

Many presidents also agreed that the mental and physical health and well-being of the president is part of the board’s responsibility and should be included in the appraisal. From private liberal arts institutions came comments, such as, “One of the board’s criticisms of me is that they feel I push myself too hard.” Another said, “The board does not talk with me about my goals, but they do encourage me to take more time off.” At another private liberal arts college, the president said that future presidential appraisals should include criteria that stress the health and well-being of the president. He said, “It is important for the board to stay interested in the physical and mental health of the president and look after the president’s welfare.” At a public research institution, the president stated that the board has urged him not to be so driven and would like him to pace himself to better protect his health.

Theme 5

Another theme that surfaced during the interviews concerned the element of surprise. About a quarter of the presidents stated that they feel presidents who are performing effectively will strive to prevent any surprises. In fact, a sign that the president is doing a good job is that surprises do not occur. The president of a private liberal arts institution said a clear indication that the president is not doing a good job is if continual surprises surface with the budget. She continued, "Morale problems are evidenced in lack of trust and surprised deferred maintenance." Another president of a private liberal arts institution said, "The mark of a well run organization is that there are no surprises." At a similar institution came the comment, "Surprises should be minimized." Another president of a private liberal arts college said, "The president must keep up fluid communication between key trustees and key institutional leaders. We don't want anyone to get surprised." The president of a public research institution is particularly concerned about the working relationship among the board chair, the board executive committee, and the president. He said, "If you want to be successful, don't allow communication gaps and surprises to develop."

Theme 6

Generally, the board and president are hoping that a positive evaluation will result that will affirm the position of the presidency. Four presidents of private liberal arts institutions mentioned this theme. One said that a good president is of such high caliber to begin with that, "The role of the board is to say the president is doing a good job. Evaluation should be positive, because the job is so demanding." Another explained that there is such impetus to accomplish this positive aura that he wondered if the board had

gone to extreme to say he had done well. At another institution, the president also echoed this idea. He said the process is extremely affirming and encouraging, whereas he would like more critical feedback. One president feels the board should say more publicly perhaps, since the appraisal decision is so affirming for the president. He continued to say, “The appraisal process is helpful to the president politically. It legitimizes my work as president.”

Theme 7

Just as the composition and talents of the board affect the nature and effectiveness of the appraisal process, so do the unique personality, management style, and strengths and weaknesses of the president drive the nature that performance appraisal must take at a particular institution. When asked what changes should be made for subsequent presidential appraisals, the president of a private liberal arts college said, “That will depend on who the successor is. We may need an evaluation of management technique. It depends on the kind of individual the president is and what his/her strengths and weaknesses are.” Another president from a similar institution emphasized that he likes higher involvement with trustees than the past president did, so he is educating trustees to his management style. The president of a public research institution said the review process might be amended with the next president, depending of the nature of the president and also that of the board chair. “You must take into account the persons involved. You must say, ‘Let’s look at the players,’ after determining the necessary elements of the appraisal.”

Theme 8

Four presidents of private liberal arts colleges agree that an important criterion for presidential review is the fact that an effective president attracts high quality senior leaders. One said, the president must get the best team he/she can find. “A critical attribute for a president is the ability to attract high quality senior leaders.” Another explained that the president must either be competent in management or be able to assemble a strong team of leaders. One president said that the board must ask itself, “Does the president have a good sense of choosing staff well?” Another sums up the issue when stating, “The main concern of trustees is the organization of the president’s staff.”

Theme 9

A final theme concerns another criterion presidents mentioned as being important in the performance review; an effective president displays an abundance of energy. The president of a private liberal arts college mentioned “stamina and energy” first before “a sense of vision” as a critical performance criterion. Another president of a similar institution rated what he considered the three most critical appraisal criteria, “Issues of integrity, presidential energy level, and communication on and off campus.” The president of a public comprehensive institution summarized, “The president must be enormously hard working and have an incredible amount of energy. It is exhausting but exhilarating – absolutely thrilling.”

Relation of Themes to Demographics

Whether considering characteristics of institutions, private or public, small or large by student enrollment, Carnegie Type, or present method of presidential appraisal,

reviews are becoming more systematic in Virginia institutions of higher education. In addition, presidents from all types of institutions believe they should be one of the primary driving forces behind this effort. Their understanding of the complexity of the job and management practices in general fuel their need to organize the effort that assesses their performance and effectiveness.

All of the liberal arts college presidents who participated in interviews were from private institutions; therefore, governing board members of this type of school might accurately be described as “hand picked.” This point appears to make a difference when looking at the presidents’ confidence in board members’ ability to assess their performance. The relationship between private board members and their presidents was often spoken of as “trusting” and “supportive” by the presidents. Presidents of private institutions are generally very proud of their boards and often spoke to me of how well the president communicates with the board chair in particular and how important that relationship is. One president referred to himself and his chair as “the touchdown twins.” Despite their praise of their boards, presidents appear to constantly be looking for “teaching moments” and realize when weak links are present in the boards’ ability to appraise the executive and the institution in which they have been entrusted.

Regardless of Carnegie Type or size of institution, presidents of public colleges also voiced a need to educate and train their board members. A striking difference between the private and public institutions, however, concerns the confidence presidents have in their boards. Largely because of the manner in which public board members are appointed, presidents question board members’ ability to make decisions about complex organizations, as are higher education institutions. When addressing the challenges of

working with a governor-appointed board, one president of a private liberal arts college said, “I wouldn’t be president of a public institution.”

Presidents of private or public, small or large student enrollment, and all Carnegie Type institutions voiced their belief that board responsibility includes monitoring the mental and physical health and well-being of the president. The president’s well-being is an issue presidents feel should be included in the evaluation criteria.

Although the theme concerning surprise that unfortunately appears on some campuses was mentioned by presidents of all types of institutions, surprise appears to be a problem of greater magnitude at smaller, liberal arts institutions. The president of one such institution explained it this way, “Even smaller problems are major crises at private colleges, as opposed to large, state institutions where problems can be offset in other areas.”

The issue regarding positive reviews that will be affirming for the presidency was mentioned by presidents of four private liberal arts colleges. It is unknown whether this issue is demographically related.

No apparent relationship to size or type of institution is evident regarding appraisal and the personal attributes of the president. At any type of institution the uniqueness of the president might drive the nature that performance review takes.

Although presidents of four private liberal arts colleges mentioned that it is important for a president to attract high quality senior leaders, presidents’ comments did not indicate that having strong senior leaders is any more critical at small, private colleges than it is in any other type of institution. It appears the quality to choose staff well is important in any type of environment.

Also, the personal qualities of energy and stamina appear to be equally as important to presidents at any type or size of institution.

Comparison of Surveys to Interviews by Institution

A second thematic analysis explored whether themes highlighted from interviews also were apparent in a comparison analysis of interviews and surveys involving board chairs and presidents of the same institution. Themes discussed under the title of Recurrent Themes are those that appear in both interviews and surveys. Table 29 depicts whether agreement exists between what the board chair reported on the survey and what the president reported during interviews. The symbol, “+,” indicates that the designated activity did occur.

Table 29
Board Chair and President Agreement by Institution

Institution	Survey	Survey Comments	Interview	Agreement
1	+	+	-	-
2	+	+	+	Yes
3	+	+	+	Yes
4	+	-	-	-
5	+	-	+	Yes
6	+	+	+	Yes
7	+	-	+	Yes
8	+	-	+	Yes
9	+	-	-	-
10	+	+	+	Yes
11	+	-	+	Yes
12	+	+	+	Yes
13	+	+	+	Yes
14	+	+	+	Yes
15	+	-	+	Yes
16	+	-	+	Yes
17	+	-	-	-
18	+	+	+	Yes
19	+	+	+	Yes
20	+	-	+	Yes
21	+	-	+	Yes
22	+	+	-	-
23	+	-	+	Yes
24	+	-	+	Yes
25	+	-	-	-
26	+	-	+	Yes

Generally, agreement on issues and criteria did occur between board chairs and presidents of the same institution. This analysis included comparing what the board chairs and presidents reported regarding when and how performance appraisals take place and the criteria used to conduct the evaluations. In addition, recurrent themes included in

the discussion of survey findings are apparent in this analysis, as is the addition of new themes.

Recurrent Themes

Board chair and president agreement regarding two presidential appraisal criteria was again emphasized in this analysis, which supports quantitative data analysis from surveys only. First, both believe that Administrative Leadership and Management is the most important criterion, especially in private liberal arts institutions. The majority of board chairs from private colleges agree that this factor should be ranked first. Although presidents were not asked to rank the six criteria, most commented on its importance. At one institution, the board chair and president agreed that Administrative Leadership and Management is critical, and the president continued to say, "At private, as opposed to public institutions, efficient management of the institution is the most important factor to consider in assessing the president's performance. Is it running efficiently?" Second, both board chairs and presidents from most public doctoral and research institutions agree that Academic Leadership and Management is the most important criterion.

Additional Themes

Theme 10

A handful of board chairs stated they would not rank appraisal criteria, except for the fact that I asked them to. One board chair left this section of the survey blank and wrote in by hand, "We have set criteria, including all of these, with no ranking. We strive to look at the total picture of presidential performance." Therefore, it might be accurate to say that many board chairs believe all six criteria are equally important performance areas. Presidents, regardless of type or size of institution, also expressed

that a broad base of knowledge and skill are required for successful presidential performance.

Theme 11

Also concerning the issue of appraisal criteria, is the concept of strategic planning based on objective goals. A handful of board chairs and presidents commented that determination and achievement of strategic plans and goals should be included in the list of presidential evaluation criteria. The president of a private liberal arts college commented that "Evaluation is subjective but is also based on objective annual goals proposed each fall." The president of a public comprehensive institution said the board should look at the president's leadership behavior, which first includes strategic planning. The board chair of a public comprehensive institution wrote on the survey by hand, "How about strategic planning?" The board chair of a public doctoral institution commented, "Progress on the accomplishments of the strategic plan along with the approved restructuring have been the principal criteria of the board for the evaluation of the president."

Theme 12

In institutions where boards report that presidential review is more informal (or in schools reporting they are in the process of developing more systematic evaluation), presidents are encouraging a better definition of evaluation criteria. This trend is apparent in all types of institutions. The board chair of a public doctoral institution commented, "In previous years there were various methods of review. During the 1997-98 year, the Board of Visitors established an annual review. This year that has been refined, with a specific list of criteria." At a private liberal arts college, the board chair

reported, “We have been structuring an evaluation process to use and will have one ready before our spring meeting of the Board of Trustees.” The president of this institution said, “I asked the board to review a list of criteria, and they agreed to look at my list.”

Theme 13

A sense of confidence that the appraisal process is “on the mark” is more apparent in comments from board chairs than from presidents. Board chairs also appear to take more credit for the development of a systematic procedure where criteria are based on goals. At a private liberal arts college, the board reported that the list of criteria for the performance review was decided on by the board exclusively. The president of that institution described the appraisal process as, “not extremely thorough. It’s adequate but not great. It doesn’t give me the feedback I need to improve in certain areas.” At another private liberal arts institution, the board chair said, “The president’s performance is measured against his goals and job description.” Yet the president reported, “It’s not terribly informative. They’re not telling me anything I don’t know.” It is unknown why board members appear to display such confidence in their review process.

Theme 14

Another theme that emerged from the cross-analysis of the data gathering instruments is that of “likability.” Especially at private liberal arts institutions, this concept appears to be important for presidential effectiveness. However, even in a public comprehensive institution the president said, “In the South, first they have to like you and then they will learn if you are competent.”

Theme 15

Another issue relating to the personal relationship between board members and the president is that positive relationships are obvious to all parties. The board chair of a private liberal arts college said, “Our current president is outstanding. She is receptive to board comment – she “runs” the college beautifully. I anticipate no problems with her during the remainder of her tenure – hopefully four to six more years – but we need to set up a more formal process before any transition.” The president of this same school commented on the board-president relationship by saying, “The relationship is good, so I would know if members were displeased with any aspect of my performance.”

Theme 16

A final theme concerns the ever-present and constant nature of presidential review. Many board chairs and presidents commented that evaluation of the president takes place constantly, not just when a formal procedure is implemented. The president of a private liberal arts college stated, “The board would not wait for an evaluation moment. Board members who are specialists in their areas would speak up.” The board chair of another private liberal arts institution said, “The evaluation of a college president takes place all the time.”

Summary of Themes from all Analyses

Systematic Appraisal

Findings from this study indicate that board members and presidents alike are interested in presidential performance appraisal and want to do it well. The emphasis in Virginia colleges and universities is toward more systematic appraisal processes based of clearly defined evaluation criteria. Presidents, who are experienced leaders and managers

in the higher education environment, are natural drivers toward shaping a systematic review process. However, for unknown reasons, board chairs appear to take the majority of credit when review processes are effective.

Review Criteria

Board chairs and presidents agree with higher education researchers that certain criteria are important to consider when reviewing the president's performance. In addition, most board chairs and presidents of small private liberal arts institutions agree that one criterion, which is designated in the study's survey as Administrative Leadership and Management, is more important in this particular type of institution. Board chairs and presidents of public doctoral and research institutions agree that another specific criterion, which is designated in the study's survey as Academic Leadership and Management, is more important in this particular type of institution. Resistance on the part of some board chairs and presidents exists concerning ranking the evaluation criteria, saying all are important. Still others believe that important criterion to include are (1) strategic planning based on goals and (2) the ability of the president to attract high quality senior leaders. In schools where board chairs report evaluation is more informal or where they are in the process of developing a more systematic evaluation, presidents are usually the ones urging better definition of appraisal criteria.

Experience and Personal Characteristics

Both experience and longevity on the board affect a board member's ability to appraise the institution's president. In addition, the unique strengths and weakness, personality, and management style of the president drive the nature that performance appraisal takes at a particular institution. A personal characteristic the president must

possess is an abundance of energy. Presidents also believe that whether the president is “liked” by the board and the academic and broader community greatly affects how effective the president is perceived.

President/Board Relationship

The relationship between the board and president, especially that between the chair and the president, is a critical element which guides the performance review process and the president’s effectiveness in general. Positive relationships between the chair and president are obvious to both parties. The president and the board are hoping the presidential review will be a positive one that will be affirming for the position of the presidency. Presidents believe that the mental and physical well being of the president is part of the board’s responsibility and that the appraisal should address how the president and board are taking care of him/ her. This relationship guides the day-to-day activities of the president of whom appraisal is taking place constantly.

Chapter Summary

This study’s findings indicate that all representatives of the 26 Virginia colleges and universities taking part in the study conduct performance reviews of their president, most of which are informal in nature. Most participants agree on the criteria used to assess the president’s performance. Although the criterion, Administrative Leadership and Management, surfaces as the most important factor overall, additional analyses indicate that it is the most important criterion in private liberal arts institutions, whereas Academic Leadership and Management is the most important appraisal criterion in public doctoral and research institutions.

Performance review criteria appear to be related positively to the body of knowledge regarding presidential responsibilities, presidential job descriptions, and presidential contracts, where available. In addition, performance criteria currently in place are characteristic of the four attributes the PES advocates (propriety, utility, feasibility and accuracy). Obvious agreement exists between board chairs and presidents in general regarding choice of review criteria, and agreement also is obvious between the board chair and president of the same institution. Numerous themes also emerged.

Chapter 5: Summary, Discussion, and Recommendations

A summary of this study's findings along with a discussion of how the findings relate to other work in the field of presidential performance appraisal are presented in this chapter. In addition, implications of the research findings for practice in higher education academic settings are discussed. Possible directions for future research are recommended. The following conclusions and interpretations should be considered in light of the following limitations.

Limitations

This study targeted all 39 of the regionally accredited higher education institutions in Virginia offering at least four-year degrees. Although 67 percent of the institutions participated in the study, the number this percentage represents is 26 institutions. This number might be too small to accurately depict the status of performance reviews when attempting to generalize results from state-to-state. In addition, the small data sample size coupled with the fact that nominal and categorical data were collected, precluded the use of more powerful parametric statistical tests. Therefore, decisions where significant difference among variables is determined might be exaggerated or underestimated in the quantitative analyses.

Since the target population is higher education institutions located in Virginia, results can be generalized only to similar type of institutions located in other regions of the country. Implications of the study are dependent on the extent the researcher believes

the responses from Virginia institutions are typical of those that are reported in other similar studies.

Of the 39 four-year regionally accredited higher education institutions in Virginia, 26 board chairs responded to surveys, and 20 of those presidents agreed to be interviewed. The study may have excluded Virginia institutions where board chairs were dissatisfied with either their appraisal process or their president's performance. Also, the study may have failed to solicit a president's viewpoint where the president was dissatisfied with part of the review process. Therefore, those who were the least satisfied with the presidential review process might either be underrepresented or excluded.

Since this study focused on regionally accredited institutions offering at least four-year degrees, it did not include other types of institutions, such as community colleges, proprietary schools, or multi-campus higher education institutions. As these types of institutions are growing sectors in the national array of higher education institutions, studies focused on performance review of their chief executive officer might prove instructive.

An additional limitation concerns the relationship of findings from this study and that of Schwartz (1998). One needs to regard the results in light of the fact that different methods were used by the two researchers to question board chairs and presidents. This study differed from Schwartz' in that Schwartz did no interviewing, and she used a nationally drawn sample. Also, survey questions were not parallel between the two studies. These differences in methodology may account for some of the differences found between Schwartz' and this study regarding the research questions.

Conclusions

To investigate the criteria and process used to judge presidential worth or effectiveness, governing board chairs and presidents from all 39 four-year private and public institutions holding regional accreditation in Virginia were approached to take part in the study. For Phase I of the study, twenty-six board chairs responded to a survey concerning presidential performance reviews at their particular institution (67 percent). For Phase II of the study, twenty presidents of those institutions where the board chairs participated (returned surveys) were interviewed to gain a deeper understanding of the review process from the presidents' point of view (77 percent of participating institutions). Quantitative data analyses of survey results included descriptive and nonparametric statistical tests. Qualitative thematic and categorical analyses were performed on interview results and also on the comparison of survey/interview data. The following research questions were addressed in the study.

Which Virginia colleges and universities conduct assessments of their president? (Research Question 1)

This study's findings indicate that all representatives of the 26 Virginia colleges and universities taking part in the study conduct performance reviews of their president. When studying demographics of participating institutions, it is apparent that presidential appraisals are occurring with the same consistency on private and public campuses, at schools of all sizes, and regardless of institution Carnegie Type.

It cannot be assumed that presidential performance reviews are not taking place in those institutions where the board chair and/or president did not participate in the study. However, one board chair returned the survey without completing it, saying, "I'm sorry

that I cannot fill out your survey. We are in the process of putting our presidential and board evaluation into a more structured form. When this process is more complete I would be happy to work with you on your project.” Perhaps board chairs from the other 13 institutions that did not participate in the study are also in the process of redesigning their presidential review process and were, thus, hesitant to become involved. This study did not attempt to answer this question.

The indications and pressure for institutions of higher education to assess their president come from many sources. Professional associations, such as the American Association of State Colleges and Universities (Evaluating College Presidents and Ethical Practices for College Presidents, 1988) and scholars of presidential evaluation (Kauffman, 1980; Nason, 1997) advocate regular appraisals of the institution's chief executive officer as indications that the board is fulfilling its obligations and that effort is being expended to improve presidential performance. The College and University Personnel Association (Chronicle of Higher Education Almanac, 1997) found that most college and university presidents are evaluated on an annual basis by the board chair, a special board committee, or the entire board of trustees. In addition, while literature demonstrates that regular presidential performance reviews are occurring at most institutions, documentation is scarce concerning the methods and procedures for carrying out the assessments.

Schwartz (1998) found that nationally only 36 percent of respondents indicated that reviews occurred at a specified interval (32 percent in the private sector and 42 percent in the public sector). Also, national results indicated that 26 percent of presidents

had never been assessed. Results from this study support the concept that performance reviews are taking place with greater frequency in Virginia colleges and universities.

Although Schwartz used different methodology that led to different types of conclusions, the apparent similarities between the two studies suggest that perhaps greater impetus exists in Virginia for carrying out this important administrative task. From survey comments and interviews, it is obvious to the writer that board chairs and presidents of Virginia colleges and universities are intensely interested in managing their institutions well. Presidents often mentioned they felt responsible for educating their boards, whose members' backgrounds most often come from the private business sector. Future study in this area would be enlightening.

Are these assessments conducted formally or informally?
(Research Question 2)

The majority of board chairs participating in the study report that the institution's board conducts presidential appraisals on regularly scheduled (92 percent) and usually annual (76 percent) bases. Both of these aspects of presidential evaluation are considered formal in nature. In addition, results indicate that while most board chairs describe their institutions' appraisals as "casual" in comments sections, that many aspects of presidential appraisals in Virginia institutions can be categorized as "formal" when looking at individual descriptors. Presidents, however, often considered a formal appraisal as one where the process is conducted by an outside consultant and where various constituencies are asked for their input. Therefore, all presidents failed to recognize the formal aspects review takes at their institutions, or to categorize their annual appraisal process as formal.

Although no clear dividing line exists, formal evaluations tend to be systematic and possess characteristics such as announced purposes and procedures, ratings by many individuals, public discussion of findings, established timeframes, written reports, and are conducted on a set cycle. Informal reviews tend to be casual and possess characteristics such as unannounced purposes and procedures, ratings by only the board chair and/or executive committee, private discussion of findings, indefinite timeframes, oral reports, and are not conducted on a set cycle (Presidential Evaluation: Issues and Examples, 1990).

What we apparently have in Virginia is a hybrid of appraisal styles that might (from a purely academic standpoint) be classified as formal, which demonstrates a clear preference for privacy. However, this study's findings indicate that in only four of the 26 institutions (three public comprehensive and one private liberal arts institution), annual presidential appraisal is most clearly a formal process. In general, descriptions of annual reviews (directly from the mouths of presidents) at the majority of institutions (22 of the 26 schools participating) could best be described as mostly informal.

Schwartz (1998) also discussed the confusion researchers and academics experience due to semantics concerning formal versus informal evaluation procedures. Only some presidential evaluation studies have distinguished between policies that were formally established by the board and reviews that involved formal evaluation procedures, making it difficult to know what a "formal" review means. Results of her study indicate, however, that nationwide most reviews are conducted annually, completed in less than one month, limited in participation to members of the board, conducted without questionnaires or interviews, and included confidential self-evaluation

statements, meetings, and reports. She concluded that, looking at the range of approaches, most presidents are assessed using an informal appraisal process.

Performance review researchers recognize that trustees need reliable and comprehensive methods of assessing the effectiveness of the academic administrator they have employed to represent them (Beaudoin, 1986). However, experts are not united in their thinking regarding the established pattern presidential appraisal should take. All that experts agree upon is that a properly executed presidential appraisal must be based on a consciously planned design that is clear about the purposes to be achieved and the methods used. Also, the plan should be developed in cooperation with the president (Nason, 1997).

The most comprehensive study on the topic was conducted by Nason in the early 1980's, Presidential Assessment: A Guide to the Periodic Review of the Performance of Chief Executives (Nason, 1997). He found that although public and private institutions were just as likely to conduct presidential evaluations (86 percent), private institutions were much more likely to use informal procedures (55 percent) and public institutions formal procedures (49 percent). Hubert (1986) also found that formal procedures were most likely employed at large, public systems.

This study's findings are not of broad enough scope to support or refute Nason's (1997) and Hubert's (1986) claims that public institutions are more likely to conduct formal evaluations. However, from comments from Virginia presidents, it is apparent that the unique relationships that private institution presidents have with their boards encourages a close and supportive informal relationship, and logically an informal appraisal review process. Schwartz (1998) concluded that common presidential review

typically involves an informal procedure, regardless of institution type, and in Virginia institutions, this pattern appears to support that claim.

What criteria are used to conduct the evaluations?
(Research Question 3)

Most participants of this study agree generally on the criteria used to assess the president's performance. Evaluation criteria should be based on what traits or characteristics serve to make the president an effective leader. However, just as there is no well-defined model of the president's job, there is no clear set of attributes that will ensure presidential success (Cohen & March, 1974). Also, as a result of differing beliefs about the world and the leadership role, presidents are likely to differ in their agendas and how they carry out the president's job. Although scholars are not united in the factors they believe are most related to presidential leadership, most agree that establishing criteria for assessing presidential performance is a must (Kauffman, 1989).

As a result of Nason's (1997) study of presidential assessment, a rich variety of criteria were exposed. A distillation of these criteria has been compiled into a six-item list that comprehensively provides a broad look at what most governing board members find as important areas of presidential competence and leadership. Of additional interest is the ranking of these six criteria, for ranking tells us the relative importance of each aspect as it relates to the different types of institutions.

In this study, although the criterion, Administrative Leadership and Management, surfaces as the most important factor overall from survey analysis, additional statistical analyses indicate that it is the most important criterion in smaller, private liberal arts institutions. Academic Leadership and Management is the most important appraisal

criterion in public doctoral and research institutions. The remaining four criteria, Budget and Finance, Fund Raising, External Relations, and Personal Characteristics, were of about equal importance to board chairs and presidents.

After various analyses were done of the study, the researcher was exposed to a different way of statistically analyzing the six criteria mentioned above. This analysis involved an attempt to pinpoint where a relationship lies based on each pairwise comparison. This statistical procedure is basically the application of the Mann-Whitney Test to each pair of variables, coupled with a Bonferroni adjustment of the critical significance level. It was decided that the sample size had an inordinate effect on the levels required for a statistically significant difference using this method. Statistical results probably would not have been a true reflection of reality.

Some board chairs preferred not to weight presidential criteria, but instead, viewed all criteria as equally important in the total picture. Comments from presidents echoed a hesitancy to select one or two criteria as most important. The varying differences among types of institutions, presidential management style, etc. likely account for this hesitancy to rank criteria, although none of the presidents had difficulty deciding what critical responsibilities are. Board chairs and presidents alike added that strategic planning and attainment of planning goals were also critical presidential responsibilities that should be appraised. In summary, from survey results, it appears that board members are most concerned with the internal running of the institution, as opposed to appearances from the outside; both board members and presidents agree upon review criteria but are hesitant to identify one criterion as most important.

Are criteria related to a body of knowledge regarding presidential responsibilities?
(Research question 4)

Performance review criteria are positively related to the body of knowledge regarding presidential responsibilities. The literature says that effective presidents formulate a vision of the institution's future, build a consensus around it, and take the risks required to achieve that vision (Baliles, 1996; Fisher & Tack, 1990). Also, they lead the board and faculty through a process of clarifying the precise nature of shared governance on each campus and reducing ambiguities in authority and decision-making processes. Finally, effective presidents exercise the authority inherent in the position and do not allow themselves to be tentative in their ability to delegate (Baliles, 1996). What is expected of college and university presidents are competent, patient leaders who are constantly attentive to relationships and meanings (Fujita, 1994; Koplik, 1985).

The literature also indicates that the president and board together should mutually decide upon the criteria for presidential review (Nason, 1997); results of this study indicate that in the majority of cases (81 percent), either the board exclusively or the board in consultation with the president decide upon the review criteria.

Not only were survey and interview questions framed around what the literature said effective presidents should do, but from presidents' comments during interviews it was obvious that they knew exactly what they were supposed to do to facilitate the effective running of their institution. In addition, obvious agreement exists among presidents and scholars of the presidency that criteria employed are related to what presidents should be able to do well. A final point maintains that agreement exists between board chairs and presidents in general regarding choice of review criteria, and agreement also is obvious between the board chair and president of the same institution.

Keeping all responsibilities in balance is the challenge to the president. Presidential review criteria employed in Virginia institutions closely follow the list of what presidents should and must do, because Virginia college and university leaders strive for a systematic process that follows professional guidelines from the literature and rules for best practice.

Are criteria related to standards and methodology advocated in the PES?
(Research Question 5)

Performance criteria currently in place are characteristic of the four attributes the PES advocates (propriety, utility, feasibility and accuracy). The PES presents criteria for judging evaluation plans, procedures, and reports and educational personnel evaluation. The Joint Committee defined personnel evaluation as "the systematic assessment of a person's performance and/or qualification in relation to a professional role and some specified and defensible institutional purpose" (Joint Committee, 1988, pp. 7-8). The committee's stance is that all evaluations should have four basic attributes: *propriety* (evaluations are ethical and legal), *utility* (evaluations are timely, informative and useful in decision making), *feasibility* (constraints are reasonable and practical), and *accuracy* (information provided is correct and exact).

Presidential review procedures in Virginia appear to be proper, useful, feasible, and accurate, because trustees and presidents comprise a professional group whose members are intent on producing a professionally designed and run evaluation process. Board members and presidents alike seek out sources to guide them through a systematic review process, such as maintaining membership in the Association of Governing Boards of Universities and Colleges (AGB) and sending for AGB references on presidential

appraisal, attending workshops, and hiring evaluation consultants to direct their institution's review.

Presidents agree that reviews are proper, ethical, and legal and are as "as fair as can be, and are "conducted in a thoughtful way." Schwartz (1998) stated that the board should ensure that high ethical standards and mutual respect prevail in regard to reviews. Of significance, she cautions, is that of confidentiality of information and using the occasion to demonstrate the boards' support for the president. Presidents participating in the AGB study complained about trustees who behaved in inappropriate ways, such as displaying emotional outbursts and leaking information, all of which tarnish the review process.

Virginia presidents agree that reviews are also timely, but a few hesitate to say that the appraisals are informative and useful. Whether the reviews are informative and useful appears to depend on the relationship between the board members and the president, the specific talent and experience of individual trustees, and the cumulative talent and experience of the board as a functioning body. In this study, whether reviews were informative was related to the depth and breadth of trustee information on how higher education institutions are best managed and whether trustees had individual or political agendas.

In addition, Schwartz (1998) reported that trustees should attempt to provide critical comments and clear suggestions as well as praise. Reviews are more useful to presidents if they offer suggestions for improvement; she found that more presidents complained that reviews were too superficial, rather than too critical. Also, she reported

that presidents found the assessment process more useful and satisfactory when goals played a greater role.

In the opinion of presidents, appraisals are feasible, reasonable, and practical, perhaps because most reviews are managed as an informal process and require minimum investment on the part of the president. Although many of the presidents prepare self-evaluations as part of their review, they see their self-assessment merely as good management practice and assessment as an ongoing process that takes place as everyday business takes place. As one president said, "The appraisal is integrated into the mainstream of the process." Schwartz (1998) reported that reviews should be conducted on a regular basis, as a matter of board policy, never in response to a crisis or incident. Under such circumstances, the appraisal is viewed as a naturally occurring event.

Lastly, Virginia presidents agree that performance reviews are accurate and legitimate. Reviews appear to accurately depict what is going on in the institution and how the president and activities relate to each other and, therefore, are regarded as valid and legitimate exercises on campus. One president stated that the review exposed a fiscal issue and facilitated senior leader focus on the problem.

A few presidents cautioned against making the assumption that college problems or shortcomings are presidential shortcomings; presidential and institutional review, although related, are not exactly one and the same. However, the review process may serve to educate and enlighten all involved concerning issues that need attention. Also, the legitimacy of the review process is dependent on the primary purpose of the assessment, which should be improving the performance of the president. While the

board may conduct appraisals for a variety of reasons, the focus should support the office of the president and improve his/her performance.

Are criteria related to job descriptions of the president, where available?
(Research Question 6)

Performance review criteria appear to be related positively to presidential job descriptions. Although almost a quarter of board chairs reported that no job description was available for the president, the majority of chairs stated that different aspects of the formal presidential job description were utilized to determine evaluation criteria to either some degree (54 percent) or to a high degree (19 percent). Presidents agreed that all of the criteria on which they are assessed are closely tied to their job description, where available.

Many explained that the job description is used primarily as a “profile for the president” to either frame the search for a successor or serve as a loose model for performance. All chairs and presidents agreed that a rigid job description is not employed to gauge the day-to-day workings of the presidency. Instigating a rigid alignment of job description to performance would be inappropriate, since the job of the presidency is so multi-faceted and complex.

Does the president’s contract reflect the criteria?
(Research Question 7)

The president’s contract, when present, positively reflects the performance review criteria. Although five institution board chairs stated that a contract was not in place for the president, about two-thirds reported that the contract includes duties and responsibilities for the president, either to some degree (46 percent) or to a high degree

(19 percent). At some institutions, regardless of Carnegie Type, a “gentleman’s agreement” takes the place of a contract.

According to reported information AGB gathered on a diverse group of American institutions of higher education, it appears that most institutions do not have a presidential contract or letter of agreement in place. Also, the level of detail varies in these contracts and letters. The shorter of these documents usually refer only to some parts of the president’s employment, such as salary, length of employment, fringe benefits, automobile use, entertainment allowance, or housing, and do not address statements of presidential duties (Neff, 1994).

Virginia colleges and universities taking part in this study appear to again be more systematic than the norm when it comes to determining guidelines for the presidency. Although board chairs and presidents state that review criteria relate only generally to a president’s contract, at least the issue of duties and responsibilities are mandated for the group as a whole. Presidents stated, however, that contracts, when in place, highlight the length of the president’s tenure, money issues, and other personnel issues. Again, utilization of a rigid alignment of presidential contract to performance would be inappropriate, since the job of the presidency is so multi-faceted and complex.

Is there agreement on the choice of criteria used within and between the constituent groups, ie. the board chairs and presidents?
(Research Question 8)

Comments from presidents from all types and sizes of institutions, and regardless of whether appraisals are considered formally or informally conducted at each institution, indicate there is basic agreement between presidents and board chairs on criteria

employed for the appraisals. Most presidents offered only few suggestions to improve the appraisal process at their institution. These suggestions included issues that presidents saw might either (1) better focus the process (specifically, the criterion-based process) or (2) better utilize the unique collective nature of board membership.

A president of a private liberal arts college agreed that she and the board generally agree concerning appraisal criteria but added, "I would rather the board be focusing on strategic goals, which are far more important than results. Results generally will then follow if goals are clear. A strong administration operates best when it constantly assesses." Schwartz (1998) indicated that presidents will be more satisfied with the review process the more they play a meaningful role regarding the procedure, and especially in setting the goals and agreeing upon the criteria for this and future reviews. Unsolicited, both board chairs and presidents emphasized the importance of strategic goals as the guiding force within an institution and a presidency. Determination, implementation, and assessment of strategic goal results are increasingly seen as the primary venue toward systematic management in Virginia higher education institutions.

In addition, presidents from all type of institutions were vocal regarding the collective nature of their board's membership. Not only is a strong chair who is well versed in assessment technique mandatory, but the chair must realize that his/her role mandates serious participation in appraising the president. The presidents of public, as opposed to private, institutions were more tentative and less positive regarding their confidence in trustee ability to appraise the president's performance. Presidents of private institutions described their relationship with their boards as "supportive" and "trusting" and iterated how communication among all members is optimal. Presidents of

private institutions also emphasized that many of their trustees were “hand picked” and that considerable effort had been placed on selecting the appropriate trustees for board composition. Many presidents of public institutions, on the other hand, expressed uncertainty concerning the collective nature of their boards. Many viewed their governor-appointed trustees with skepticism concerning the number of stumbling blocks the president might encounter with a diverse group, many of whom have political agendas. Board composition is a critical element that affects the smooth running of a higher education institution and one that should take considerable thought.

Discussion

This study’s findings indicate that all representatives of the 26 Virginia colleges and universities taking part in the study conduct performance reviews of their president, most of which reviews are informal in nature. Most participants agree on the criteria used to assess the president’s performance. Although the criterion, Administrative Leadership and Management, surfaces as the most important factor overall, additional analyses using Mann-Whitney and Kruskal-Wallis tests indicate that it is the most important criterion in private liberal arts institutions, whereas Academic Leadership and Management is the most important appraisal criterion in public doctoral and research institutions.

Performance review criteria appear to be related positively to the body of knowledge regarding presidential responsibilities, presidential job descriptions, and presidential contracts, where available. In addition, performance criteria currently in place are characteristic of the four attributes the PES advocates (propriety, utility, feasibility and accuracy). Obvious agreement exists between board chairs and presidents

in general regarding choice of review criteria, and agreement also is obvious between the board chair and president of the same institution.

The most interesting findings emerged from the thematic analyses of interview data. Findings from this study indicate that board members and presidents alike are interested in presidential performance appraisal and want to do it well. The emphasis in Virginia colleges and universities is toward more systematic appraisal processes based on clearly defined evaluation criteria. Presidents, who are experienced leaders and managers in the higher education environment, are natural drivers toward shaping a systematic review process. However, for unknown reasons, board chairs appear to take the majority of credit when review processes are effective. Part of their willingness to take credit likely stems from their pride in overseeing the running of their institution. Concern and pride in association were obvious on the part of all board chairs.

Board chairs and presidents agree with higher education researchers that certain criteria are important to consider when reviewing the president's performance. In addition, most board chairs and presidents of small private liberal arts institutions agree that one criterion, which is designated in the study's survey as Administrative Leadership and Management, is more important in this particular type of institution. Board chairs and presidents of public doctoral and research institutions agree that another specific criterion, which is designated in the study's survey as Academic Leadership and Management, is more important in this particular type of institution. These two findings are supported by all analyses: (1) findings reported by board chairs on surveys only, (2) the thematic analysis of interview data, and (3) the comparison of survey to interview data.

An interesting issue surfaced when the writer was conducting preliminary interviews with select presidential evaluation authorities prior to the study's conceptualization. When Joseph Kauffman (Personal communication, November 20, 1997) was asked to identify what he felt were appropriate review criteria, he stated that much of what a president does is not observable, because much of the president's job is to prevent negative things from happening. Using this rationale, how might one design criteria that ask what a president prevents from happening? How does one measure absence of crisis?

Agreement exists between board chairs and presidents participating in this study and subject matter experts in general on what review criteria are considered most important. These criteria center around: creation of a vision, being an advocate and role model for the institution, fostering good communication in an atmosphere of integrity, administrative skills, and financial management and fund raising skills. Resistance on the part of some board chairs and presidents exists concerning ranking the evaluation criteria, saying all are important.

Still other study participants believe that important criteria to include are (1) strategic planning based on goals and (2) the ability of the president to attract high quality senior leaders. In schools where board chairs report evaluation is more informal or where they are in the process of developing a more systematic evaluation, presidents are usually the ones urging better definition of appraisal criteria. Presidents, those with the most comprehensive overall vision for the institution, are natural drivers of strategic planning.

In conversation between the writer and the board chair of a public comprehensive institution prior to initiation of this study, the chair said, "A effective president wants vice

presidents who are stronger and more able than he/she is,” (William Miller, personal communication, January 16, 1998). Those who are considered effective in their jobs have a tendency to seek out others who are also talented, which has two results: (1) the job is done well and (2) actions of senior leaders make the president look good.

Presidents infer that both experience and longevity on the board affect a board member’s ability to appraise the institution’s president. One president stated, “If board members were more experienced, a detailed explication of their assessment would be valuable. But board members have little life experience in the management and leadership required in complicated organizations.” Another president stated that the major reason the appraisal process was only marginally informative was because two-thirds of the board are not informed.

In addition, the unique strengths and weaknesses, personality, and management style of the president drive the nature that performance appraisal takes at a particular institution. One president emphasized that he likes higher involvement with trustees than the past president did, so he is educating trustees to his management style. Another said, “You must take into account the persons involved. You must say, ‘Let’s look at the players,’ after determining the necessary elements of the appraisal.”

A personal characteristic the president must possess is an abundance of energy. Unprompted, presidents spoke of the demands of the job and what expenditure of energy is required. Presidents also believe that whether the president is “liked” by the board and the academic and broader community greatly affects how effective the president is perceived. We are, after all, social creatures and often believe that a person is effective if he/she is liked and well respected.

The relationship between the board and president, especially that between the chair and the president, is a critical element which guides the performance review process and the president's effectiveness in general. Positive relationships between the chair and president are obvious to both parties. This relationship guides the day-to-day activities of the president of whom appraisal is taking place constantly.

The president and the board are hoping the presidential review will be a positive one that will be affirming for the position of the presidency. Both board chairs and presidents desire that the appraisal will justify resulting personnel issues, such as bestowing a salary increase, additional benefits, etc. and also improve the president's (and, thus, the school's) public image. Presidents believe that the mental and physical well being of the president is part of the board's responsibility and that the appraisal should address how the president and board are taking care of him/ her. Many presidents identify with their institution and often feel that concern and pride are reciprocal.

The human qualities of the president are what set him/her apart from other managers. In the preliminary research by the writer prior to conceptualization of the study, a former board chair of a public doctoral university commented on what he thought were indicators of presidential effectiveness (George Dragas, personal communication, December 27, 1997). His list included intelligence in administrative matters concerning a large operation, integrity, and the ability to make hard decisions. "Good presidents," he stated, "have a passion for the job." It is this passion and other personal qualities that pave the way for effective management of higher education institutions. All discussions of presidential worth are rooted in issues of humanity.

Recommendations for Practice

The following statements pertain to how the practice of presidential performance review might become more effective.

1. More comprehensive data gathering activities are needed to study what happens to presidents who are not experiencing satisfactory performance reviews.

This study and others (Beaudoin, 1986; Hubert, 1986; Schwartz, 1998) attempted to investigate the process of presidential performance reviews and the resulting outcome. By nature of the procedures used to collect information, employing either surveys or interviews to gather data from presidents and board members currently in service, a very important population of dissatisfied trustees or presidents might have been excluded. This segment is perhaps the group that is least likely to speak, which compounds the issue in gathering data. More creative data gathering activities are needed to draw a truer picture of presidential performance review results.

2. Critical questions must be addressed when developing a checklist for “best practice” regarding presidential performance reviews.

Drafting a rigid list of rules for “best practice” in conducting presidential performance reviews across all types of colleges and universities is not feasible or reasonable, because of the unique nature of each institution’s many facets. However, it is more appropriate to pose questions for those designing and conducting reviews to better allow for flexibility and accuracy. Schwartz (1998) has compiled a list of issues about which basic decisions must be made when planning a review that will allow process tailoring to fit each individual institution’s needs. This study’s findings confirm and

support that these issues as crucial ones planners must address. Questions to which leaders should respond include:

- **Timing.** What is the schedule for reviews over the course of the presidency (e.g., annual, periodic, alternating annual informal and periodic formal review, other)?
- **Purposes.** What are the purposes for conducting a review at this time (e.g., improve performance, fulfill board's responsibility, determine salary, contract renewal, build consensus on priorities, etc.)?
- **Responsibility.** Who will be responsible for leading the process (ranging from narrow participation limited to trustees, to broad participation of representative constituencies)?
- **Confidentiality.** What will remain confidential (e.g., documents, meetings, reports)?
- **Self-Assessment.** Will the president complete a self-assessment statement or report? To whom will it be presented?
- **Data Collection.** From whom will information be collected (narrow vs. broad participation) and how (interviews, questionnaires, outside consultant)?
- **Reporting.** What information will be reported, to whom, and how (to the president, to the board, to the college or university community; orally or in writing)?
- **Follow-up/Decisions.** What actions, if any, will follow the review (e.g., contract renewal, salary recommendation, board resolution, monitoring president's goals)?
- **Assessing Governance.** How and when will the performance of the board be reviewed (retreat, meeting, study)? How does this relate to presidential assessment?

The writer would add that since the findings from this study indicate that the management styles of both the board members (and especially the board chair) and the president

greatly influence the form and methods that the review will take, dependent on their individual styles, this issue also needs to be addressed. An assessment of key participating members' management styles should be one of the first issues on the list.

In addition, comprehensive assessment plans also routinely take stock of how effective their assessment process is. This meta-evaluation, which is an important part of the entire assessment process, enables planners to estimate the value of their instruments that measure worth after the assessment has been conducted. With these two concepts in mind, the writer would suggest that the following two issues be added to Schwartz' checklist.

- **Management Style.** What are the management styles of the board chair, president, or other key persons involved in the performance review? What is the relationship between the board chair and president? How well do they work together? How much guidance does the board need to efficiently develop the review process? What is required on the part of the president to educate the board?
- **Meta-evaluation.** How effective is the performance review process? How might it be changed to better measure an estimation of presidential performance?

Recommendations for Programs of Higher Education

1. **Higher Education programs must educate future college and university presidents in the management of higher education institutions and also performance review technique.**

College and university presidents largely come up in the ranks from the faculty; future presidents come from all academic majors, with the preponderance (42 percent)

starting in the field of education (The Chronicle of Higher Education Almanac, August, 1998). When looking at what board chairs believe about presidential responsibilities, it is apparent that overall, Administrative Leadership and Management is the most important responsibility. Further statistical analyses indicate that Administrative Leadership and Management is more important in small, private liberal arts colleges, whereas Academic Leadership and Management is more important in larger, public doctoral and research universities. Doctoral programs in Higher Education attempt to teach future higher education leaders about organization, governance, and leadership through coursework. However, literature is sparse concerning what type of educational experiences can best prepare leaders who go on to become presidents of institutions. Since few educational opportunities exist to groom future college deans and presidents, perhaps the Higher Education major should study avenues to educate administrators to better handle both management and assessment issues.

Recommendations for Future Research

1. How might in-depth studies on presidential performance review be conducted across institutions according to Carnegie Type?

Results of this study indicated that different presidential responsibilities are more important to trustees and presidents of institutions according to Carnegie Type. However, considering the relatively small sample size of this study, coupled with the fact that Virginia might be unique from other states, a larger, more comprehensive study across more states might be instructive. Schwartz (1998) conducted a primarily quantitative study that was large in scope but which yielded little qualitative data.

Perhaps a study based on interviews conducted with presidents and trustees from a larger region of states would paint a truer picture of issues regarding presidential reviews in all institutions according to Carnegie Type.

2. How might the PES be employed to recommend more systematic and comprehensive presidential performance reviews?

The PES were employed in this study as a standard for determining criteria for presidential performance review. The Joint Committee who drafted the standards intended that they be utilized to judge evaluation plans, procedures, reports, and educational personnel evaluation. However, it is extremely doubtful that those who planned presidential performance reviews in Virginia colleges and universities employed the standards, but rather that reviews were designed serendipitously in a manner that matched PES guidelines. Perhaps if the standards were more widely advocated, higher education institutions, which are in the process of determining appraisal criteria, might design their reviews in a more efficient and effective manner. Future research efforts are necessary.

3. How might evaluation procedures termed “best practice” be utilized in presidential performance appraisals in different types of higher education institutions, to include community colleges, multi-campus institutions, and proprietary schools?

A growing segment nationwide in the higher education community includes community colleges, various types of multi-campus institutions, and proprietary schools.

How are presidential performance appraisals conducted at these types of institutions?

Are standards that are accepted in liberal arts, comprehensive, doctoral, and research institutions transferable for use in assessing presidential performance overall? Future research efforts might cross the boundaries to these different types of higher education institutions and, thus, investigate employing more universal review criteria.

4. What is the status of presidential performance review in Virginia institutions that did not take part in the study?

It is unknown whether periodic, regular, and/or systematic performance appraisal is occurring within the 13 Virginia colleges and universities that did not take part in this study. Since one board chair responded to the survey explaining that their presidential appraisal process is currently under review, it is likely that other boards are also in a similar position. The difficulty, however, is in capturing this data, as this group might be the most private concerning their process. Future studies might target this group.

5. What conditions are present when a college or university president is fired?

Because of the sensitive and confidential nature of situations where performance reviews result in the termination of a president's assignment, little is known about what happens both before and during the termination. Future research efforts might investigate such occurrences.

6. What conditions are present in Virginia institutions and in the state of Virginia that encourage more regular and frequent performance appraisal, as compared to other states?

Schwartz (1998) found that nationally only 36 percent of board chairs and presidents indicated that presidential reviews occurred at a specified interval, whereas, this study found that at least 67 percent (all 26 board chairs who participated in the study) reported that reviews are taking place on a regular and usually annual basis. It appears that performance reviews are taking place with greater frequency in Virginia colleges and universities than in the nation, as a whole. It is unknown what impetus exists in Virginia for carrying out reviews. Future research might focus on this area.

Appendix A

Letter to Board Chairs for Participation in Study



The College Of
WILLIAM & MARY

School of Education
P.O. Box 8795
Williamsburg, VA 23187-8795
Fax: 757-221-2988

Robert J. Hanny, Professor
Phone: 757-221-2334
Email: rjhann@facstaff.wm.edu
<http://www.wm.edu/education/Faculty/Hanny/index.html>

November 12, 1998

Dear Board Chair:

Community members have always passed judgement on the college and university president and likely always will. The judgements, however, have traditionally been informal. In the last decade or so presidential performance reviews have become more formal and purposeful. As a follow-up study to one initiated by the Association of Governing Boards of Universities and Colleges, I am conducting a study to identify the criteria used to conduct periodic presidential performance reviews in Virginia. This study, my doctoral research, will be conducted under the supervision of Professor Robert J. Hanny.

Your candid response to the enclosed inventory, as a board chair, would be very helpful in answering this question regarding criteria and standards. I understand you are a very busy person, but I need your help in forming a representative sample for my study on presidential evaluation. I am asking for 10 to 15 minutes of your time. The questions are straightforward and ask for largely multiple-choice responses. I do request that the completed inventory form be returned in the enclosed stamped, self-addressed envelope by December 1, 1998.

Survey information is being gathered from board chairs of the 26 independent and 15 public four-year colleges and universities in Virginia. Responses to surveys will be used only to group study results according to type and size of institution, etc., and will not be used to identify specific schools.

If you have questions regarding this study, please feel free to contact me at 757/443-6196 (work) or 757/463-0608 (home) or Dr. Hanny at the numbers above. My email address at work is: clarkc@afscmail.afsc.edu. To receive a summary of the inventory results, contact either of us directly by phone or email. Your participation, of course, is voluntary, but I do hope you will take the time to respond and thereby help me draw a complete picture of practices among Virginia institutions. Please accept my sincere thanks for your assistance with this project.

Sincerely,

Claudia H. Clark
Doctoral Candidate

Robert J. Hanny
Professor
Educational Policy, Planning, & Leadership

Appendix B
Presidential Performance Survey

Presidential Performance Survey

In this survey, periodic review of performance refers to the more or less systematic attempts on the part of a governing board of a college or university to appraise the performance of the president. Your participation in this survey is very important, and I greatly appreciate your help.

1. Please read the following descriptor pairs that describe periodic reviews of presidential performance and indicate by circling the number on the scale that reflects your institution's description of that descriptor.

Systematic	1	2	3	4	5	Casual
Announced purposes & procedures	1	2	3	4	5	Unannounced purposes & procedures
Ratings by many individuals	1	2	3	4	5	Ratings by board chair and/or executive committee
Public discussion of findings	1	2	3	4	5	No discussion of findings
Established timeframes for completion	1	2	3	4	5	Indefinite timeframes for completion
Written report of results	1	2	3	4	5	No written report of results
Oral report of results	1	2	3	4	5	No oral report of results
Conducted on a set cycle	1	2	3	4	5	No set cycle

2. Please read the following descriptors of presidential responsibility and rank them as to their importance in the periodic review of performance. (Assign a 1 to the most important, and a 2 to the next most important, etc.)

Academic leadership and management	_____
Administrative leadership and management	_____
Budget and finance	_____
Fund raising	_____
External relations	_____
Personal characteristics	_____

Appendix C

Message to Presidents for Interview Participation

Message to Presidents for Interview Participation

Mar 8, 1999

Dear President _____,

Recently your Board Chair assisted me in my study of how criteria are determined for presidential evaluation in Virginia colleges and universities. I am very grateful for his support in completing the survey (also, your staff helped me get the survey into the right hands), but I have one additional favor to ask. My research design requires that I capture the presidents' views on the evaluation process in order to help paint a richer picture of the process. Knowing how busy you are, I am asking for a phone interview, which should last no longer than 15 minutes.

Below I have included a list of questions I outlined for the conversation, so that you may have some idea of issues on which I will focus. Again, institution anonymity is guaranteed, as I understand the issue of presidential evaluation is sensitive at many schools.

Please let me know if you have received this message and are willing to talk with me. If you are willing, please reply to this message and I will call your office to set up a time that is convenient for you. Again, I thank you sincerely for your time and attention.

Claudia Clark, Doctoral Candidate, College of William and Mary
clarkc@afscmail.afsc.edu
 (work) 757/443-6196
 (home) 757/463-0608

President Interview Guide

1. Describe the most recent presidential appraisal process that was conducted at your institution, including key individuals or committees involved.
2. Describe your role in the most recent presidential assessment that took place at your institution or the upcoming appraisal that will take place. How did the board involve you?
3. Which of your duties were considered important enough that questions were asked about your performance of those duties during the appraisal?
4. In what ways do those assessed duties relate to your job description?
5. What factors do you think are important to consider in assessing a president's performance?
6. How does one decide if a president is doing a good job?

7. Do you consider the review to have been conducted legally, ethically, and with due regard for the welfare of the parties involved? Please elaborate.
8. Do you think the appraisal process was timely and informative? Please elaborate.
9. Do you think the appraisal process was easy to implement and made good use of time, money, and other resources? Please elaborate.
10. What is your overall opinion of the presidential assessment process that was used at your institution?
11. Do you think the presidential assessment process at your institution was legitimate? Please elaborate.
12. In your opinion, what changes should be made for subsequent presidential appraisals?

Appendix D
Interview Questions for Presidents

Interview Questions for Presidents

1. Describe the most recent presidential appraisal process that was conducted at your institution, including key individuals or committees involved.
2. Describe your role in the most recent presidential assessment that took place at your institution or the upcoming appraisal that will take place. How did the board involve you?
3. Which of your duties were considered important enough that questions were asked about your performance of those duties during the appraisal?
4. In what ways do those assessed duties relate to your job description?
5. What factors do you think are important to consider in assessing a president's performance?
6. How does one decide if the president is doing a good job?
7. Do you consider the review to have been conducted legally, ethically, and with due regard for the welfare of the parties involved? Please elaborate.
8. Do you think the appraisal process was timely and informative? Please elaborate.
9. Do you think the appraisal process was easy to implement and made good use of time, money, and other resources? Please elaborate.
10. What is your overall opinion of the presidential assessment process that was used at your institution?
11. Do you think the presidential assessment process at your institution was legitimate? Please elaborate.
12. In your opinion, what changes should be made for subsequent presidential appraisals?

References

Appleberry, James B. (1988, Mar-Apr). Checklist for a President's Contract. AGB Reports, 30 (2), 22-24.

Atwell, Robert H. (1996, Spr/Sum). Inside the college presidency. Educational Record, 77 (2,3), 6-11.

Baldrige, J. V., Curtis, D. V., Ecker, G., and Riley, G.L. (1978). Policy Making and Effective Leadership: A National Study of Academic Management. San Francisco, CA: Jossey-Bass Publishers, Inc.

Baliles, Gerald L. (1996, Sep/Oct). In the interest of the presidency. Trusteeship, 4 (5), 6-11.

Bass, Bernard M. (1990). Bass and Stogdill's Handbook of Leadership: Theory, Research, and Managerial Application, Third Edition. New York, NY: The Free Press.

Beaudoin, Diana B. (1986). Formal procedures and informal influences: Assessing a college president's performance. Dissertation Abstracts International, 47-08A. (UMI No. 8620688)

Bennett, Carl A. and Lumsdaine, Arthur A. (1975). Evaluation and Experiment. New York, NY: Academic Press, Inc.

Bensimon, Estela M. (1989). Strategies for an effective presidency. In Estela M. Bensimon, Marian L. Gade, Joseph F. Kauffman, Theodore J. Marchese, and Sharon A. McDade (Eds.), On Assuming a College or University Presidency: Lessons and Advice from the Field (pp. 1-12). Washington, DC: American Association for Higher Education.

Birnbaum, Robert. (1988). How Colleges Work: The Cybernetics of Academic Organization and Leadership. San Francisco, CA: Jossey-Bass Inc., Publishers.

Birnbaum, Robert. (1989, Mar/Apr). Presidential succession and institutional functioning in higher education. Journal of Higher Education, 60, 123-35.

Birnbaum, Robert. (1992). How Academic Leadership Works: Understanding Success and Failure in the College Presidency. San Francisco, CA: Jossey-Bass Inc., Publishers.

Carver, John. (1995, Sept./Oct.) Competent boards can't have incompetent CEOs...not for long. Board Leadership, 5, 3,8.

Chait, Richard P. (1998, Jan/Feb) Illusions of a leadership vacuum. Change, 30(1), 39-41.

Chait, Richard P., Holland, Thomas P. and Taylor, Barbara E. (1996). Improving the Performance of Governing Boards. Phoenix, AZ: The Oryx Press.

The Chronicle of Higher Education Almanac. (August 29, 1997). 44(1), 28.

The Chronicle of Higher Education Almanac. (August 28, 1998). 45(1), 30.

Cohen, M. and March, J.G. (1974). Leadership and Ambiguity. New York, NY: McGraw-Hill.

Costello, Kathryn R. (1993, Nov-Dec). What I expect of my CEO. Currents, 19(10), 24-28.

Crabtree, Benjamin F. and Miller, William L., (Eds.). (1992). Doing Qualitative Research. Newbury Park, CA: Sage Publications, Inc.

Creswell, John W. (1994). Research Design: Qualitative and Quantitative Approaches. Thousand Oaks, CA: Sage Publications, Inc.

Doser, Beatrice. (1990, Feb). Effective Board/President Relations. Paper presented to the Michigan Community College Association, Sidney, MI

Edwards, Jack E. and Raju, Nambury S., reviewers. (1989, Winter). Book review. Educational and Psychological Measurement, 49, 999-1001.

Ellett, Chad D., Wren, Cynthia Y., Callender, Karen E., Loup, Karen S., and Liu, Xia. (March, 1996). Looking backwards with the Personnel Evaluation Standards: An analysis of the development and implementation of a statewide teacher assessment program. Studies in Educational Evaluation, 22, 79-105.

Evaluating College and University Presidents and Ethical Practices for College Presidents. (1988). Washington, DC: American Association of State Colleges and Universities.

Fisher, James L. (1991). The Board and the President. New York, NY: American Council on Education and Macmillan Publishing Company.

Fisher, James L. (1996, Spr/Sum). Taking a closer look at presidential reviews. Educational Record, 28(2,3), 57-60.

Fisher, James L. and Koch, James V. (1996). Presidential Leadership: Making a Difference. Phoenix, AZ: The Oryx Press.

Fisher, James L. and Tack, Martha W. (1990, Winter). The effective college president. Educational Record, 71(1) 6-10.

Frantzreb, Arthur C. (Ed.). (1981). Trustees's Role in Advancement: New Directions for Institutional Advancement. San Francisco, CA: Jossey-Bass Inc., Publishers.

Fujita, Eleanor. (1994, Feb). A good college president: The constituent view. Journal of Personnel Evaluation in Education, 8(1), 75-91.

Glasman, Naftaly S. and Martens, Pamela Ann. (Winter, 1993). Personnel Evaluation Standards: The use in principal assessment systems. Peabody Journal of Education, 68, 47-63.

How to evaluate the CEO. (1995, Winter). Directors and Boards, 1, 33-37.

Hubert, Wayne P. (1986). The evaluation of the college and university president. Dissertation Abstracts International, 47-05A. (UMI No. 8607828)

Johnson, R. Scott. (1993, Apr). Female and Male Faculty: Expectations and Interpretations of Presidential Leadership in a Research University. Atlanta, GA: American Educational Research Association.

The Joint Committee on Standards for Educational Evaluation. (1988). The Personnel Evaluation Standards. Newbury Park, CA: Sage Publication. Inc.

Kauffman, Joseph F. (1980). At the Pleasure of the Board. Washington, DC: American Council on Education.

Kauffman, Joseph F. (1989). Strategies for an effective presidency. In Estela M. Bensimon, Marian L. Gade, Joseph F. Kauffman, Theodore J. Marchese, and Sharon A. McDade (Eds.), On Assuming a College or University Presidency: Lessons and Advice from the Field (pp. 29-42). Washington, DC: American Association for Higher Education.

Kauffman, Joseph F. (1989). Governing boards. In A. Levine (Ed.), Higher Learning in America: 1980-2000. Baltimore, MD: The Johns Hopkins University Press.

Keller, George. (1983). Academic Strategy. Baltimore, MD: Johns Hopkins.

Kennedy, Sarah Corner. (1994). In the shadow of giants: Contemporary constraints on effective presidential leadership in higher education. Dissertation Abstracts International, 55(03), 0481A. (UMI No. 9422223)

Kerr, Clark. (1984). Presidents Make a Difference: Strengthening Leadership in Colleges and Universities. A Report of the Commission on Strengthening Presidential Leadership, The Association of Governing Boards of Universities and Colleges.

Kerr, Clark and Gade, Marian L. (1984). The Many Lives of Academic Presidents: Time, Place and Character. Washington, DC: Association of Governing Boards of Universities and Colleges.

Kerr, Clark. (1994). Troubled Times for American Higher Education: The 1990s and Beyond. Albany, NY: State University of New York Press.

Koplik, Stanley Z. (1985). A study of perceptions of presidential effectiveness at a selected group of major public and private universities and colleges in the United States. Dissertation Abstracts International, 46-10A. (UMI No. 8529111)

Levine, Arthur. (1984, Jan/Feb). Surviving the first year: Diary of a new college president. Change, 16(1), 10-17.

Levine, Arthur. (1998, Jan/Feb). Succeeding as a leader: Failing as a president. Change, 30(1), 43-45.

Lipman-Blumen, Jean. (1998, Jan/Feb). Connective leadership: What business needs to learn from academe. Change, 30(1), 49-53.

McConney, Andrew. (1995, June). Introduction: Common ground for a unified approach. Studies in Educational Evaluation, 21, 105-110.

Millman, Jason, reviewer. (1989, Oct). Book review. Measurement and Evaluation in Counseling and Development, 22, 169-171.

Munitz, Barry. (1980). Reviewing presidential leadership. In Richard T. Ingram and Associates (Ed.), Handbook of College and University Trusteeship: A Practical Guide for Trustees, Chief Executives, and Other Leaders Responsible for Developing Effective Governing Boards (pp. 377-404). San Francisco, CA: Jossey-Bass Inc., Publishers.

Munitz, Barry. (1998, Jan/Feb). Leaders: past, present, and future. Change, 30(1), 8-9.

Nason, John W. (1990). Board assessment of the Chief Executive: A Responsibility Essential to Good Governance. Washington, DC: National Center for Nonprofit Boards.

Nason, John W. (1993). Responsibilities of the governing board. In Richard T. Ingram and Associates (Ed.), Governing Independent Colleges and Universities (pp. 97-113). San Francisco, CA: Jossey-Bass Inc., Publishers.

Nason, John W. (1997). Presidential Assessment: A Guide to the Periodic Review of the Performance of Chief Executives. Washington, DC: Association of Governing Boards of Universities and Colleges.

Neff, Charles B. (1993, May-Jun). Clear expectations: The missing piece in board-presidential relations. Trusteeship, 1(3), 20-23.

Neff, Charles B. (1994, Jan-Feb). What's in a Presidential Contract? Trusteeship, 2(1), 26-34.

Neumann, Anna and Bensimon, Estela M. (1990, Nov/Dec). Constructing the presidency: College presidents' image of their leadership roles. a comparative study. Journal of Higher Education, 61, 678-701.

Norusis, Marija J. (1997). SPSS 7.5 Guide to Data Analysis. Upper Saddle River, NJ: Prentice Hall.

Ornstein, Allan C. and Hunkins, Francis P. (1988). Curriculum: Foundations, Principles, and Issues. Englewood Cliffs, NJ: Prentice Hall.

The President and the Governing Board. Conditions for Effective Leadership. (1989). Washington, DC: American Association of State Colleges and Universities.

Presidential Evaluation: Issues and Examples. (1990). Trustee Monograph Series. Tallahassee, FL: Florida State Board of Community Colleges.

Roueche, John E.; Baker, George A.; and Rose, Robert R. (1988, Apr-May). The community college president as transformational leader: A national study. Community, Technical, and Junior College Journal, 58(5), 48-52.

Schwartz, Merrill Pellows. (1998). Assessing the performance of academic presidents. Dissertation Abstracts International, 60-03A. (UMI No. 9921004)

Seldin, Peter. (1988). Evaluating and Developing Administrative Performance. Jossey-Bass Inc., Publishers: San Francisco, CA.

Sheikholeslami, Rahim. (1985). Development of a process and an instrument for assessment of chief executive officers of institutions of higher education. Dissertation Abstracts International, 46, 46-09A. (UMI No. 8525668)

Sherman, Vaughn A. (1993, Apr). Trustees as Reluctant Leaders: The Board/CEO Relationship. Paper presented to the Annual National Convention of the American Association of Community Colleges, Portland, OR.

Stronge, James H. (1995, June). Balancing individual and institutional goals in educational personnel evaluation: A conceptual framework. Studies in Educational Evaluation, 21, 131-151.

Stufflebeam, Daniel and Nevo, David. (1993, Winter). Principal evaluation: New directions for improvement. Peabody Journal of Education, 68, 24-45.

Taylor, Barbara E. (1987). Working Effectively with Trustees: Building Cooperative Campus Leadership. ASHE-ERIC Higher Education Report No. 2. Washington, DC: Association for the Study of Higher Education.

Trow, Martin. (1994). Comparative reflections on leadership in higher education. In Philip G. Altbach, Robert O. Berdahl, and Patricia J. Gumpert (Ed.), Higher Education in American Society: Third Edition (pp. 269-288). Amherst, NY: Prometheus Books.

Vineyard, Edwin E. (1993). The Pragmatic Presidency: Effective Leadership in the Two-Year College. Bolton, MA: Anker Publishing Company, Inc.

Worthen, Blaine R. and Sanders, James R. (1987). Educational Evaluation: Alternative Approaches and Practical Guidelines. White Plains, NY: Longman.

Wright, Jeannette T. (1988, Spr). Conditions for effectiveness. New Directions for Higher Education, 16(1), 87-91.

Vita

Claudia Hudak Clark

Birthdate: November 15, 1950

Birthplace: West Branch, Michigan

Education:

1993-1997 The College of William and Mary
Williamsburg, Virginia
Education Specialist Degree

1979-1982 Old Dominion University
Norfolk, Virginia
Master of Science

1969-1975 The University of Michigan
Ann Arbor, Michigan
Bachelor of Science